

# **FISCAL YEAR 2002 APPLICATION FOR NEW GRANTS FOR THE EARLY READING FIRST PROGRAM**

Title I, Part B, Subpart 2,  
Elementary and Secondary Education Act of 1965  
as amended by No Child Left Behind Act, 2001, Public Law 107-110

*CFDA Number: 84.359A – Pre-Application*  
*CFDA Number: 84.359B – Full Application*

**FORM APPROVED**  
**OMB No. 1810-0654**  
**Expiration Date: October 31, 2002**



**DATED MATERIAL – OPEN IMMEDIATELY**

**Closing Dates for Application RECEIPT:**

*Pre-Application: July 15, 2002*  
*Full Application (for invitees only): October 11, 2002*

**Paperwork Burden Statement**

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless that collection displays a valid OMB control number. The valid OMB control number for this information collection is **1810-0654** (expiration date: October 31, 2002). The time required to complete this information collection is estimated to average 10 hours per response for the Pre-Application, and 20 hours per response for the Full Application, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments about the accuracy of the time estimate or suggestions for improving this form, or comments or concerns about the status of your individual submission of this form, write directly to:** Ms. Patricia McKee, Group Leader, Student Achievement and School Accountability Programs, Office of Elementary and Secondary Education, U.S. Department of Education, 400 Maryland Avenue, SW, Rm. 3W106, Washington, D.C. 20202-6132; (202) 260-0999; E-mail: [patricia.mckee@ed.gov](mailto:patricia.mckee@ed.gov).



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**Section A:**

**DEAR APPLICANT LETTER**



Dear Applicant:

Thank you for your interest in the Early Reading First Program administered by the U.S. Department of Education, Office of Elementary and Secondary Education. Early Reading First is an exciting new Federal grants program that supports the President's new Early Childhood Initiative by helping existing early childhood education programs become centers of educational excellence for preschool age children. Through improvements in the instruction and the classroom environment, children will learn the language, cognitive, and early reading skills required for later school success. Many of America's young children face daunting challenges as they enter kindergarten lacking the necessary skills to learn how to read. Early Reading First offers an exciting opportunity to meet this challenge by helping to ensure that children are provided with high-quality preschool education.

The Congress appropriated \$75 million for Early Reading First for fiscal year 2002. The Department will award the grants on a competitive basis for a project period of up to 3 years. The Department estimates that it will make between 50 and 300 grant awards, ranging between \$250,000 and \$1,500,000 per year.

This application package is designed for eligible local educational agencies (LEAs) and public or private organizations or agencies located in communities served by those eligible LEAs. A list of eligible LEAs in each State is located on the Department's website at the following address: <http://www.ed.gov/offices/OESE/earlyreading/index.html>. Application information, instructions, Pre-Application forms, and Full Application forms can be found within this application guide, and also are available on the Department's website at the above address. Please review the entire application package carefully before preparing and submitting your application.

The Department will use a two-phase system to select award recipients that will include a Pre-Application and a Full Application. **All** applicants must submit Pre-Applications that briefly address certain key concepts. The closing date for the Department's **receipt** of Pre-Applications is **July 15, 2002**. All Pre-Applications *must be received* by the Department of Education's Application Control Center on or before that deadline date (by 4:30 p.m., Eastern Standard Time, if hand-delivered). Any applications received after that deadline will not be read. Pre-Applications received by the deadline will be reviewed by a peer review panel of experts that will evaluate the content based on the Pre-Application selection criteria contained in this guide, and upon three Pre-Application competitive priorities. The Department intends to inform applicants by approximately August 30, 2002 of the outcome of the Pre-Application phase. *The Secretary will consider for invitations to submit Full Applications only those Pre-Applications that are rated highly in this competitive peer review process and recommended as having the potential to become successful projects.* For the Pre-Application phase, the Department requires applicants to submit one signed original and at least two complete copies of the Pre-Application. To expedite the review, we would appreciate it if applicants would submit two additional copies if possible.

Applicants that are invited to submit Full Applications will respond to more specific selection criteria indicated in the Full Application portion of this guide. Full Applications received by the deadline indicated below will be reviewed by a separate peer review panel that will evaluate the

content based on the Full Application selection criteria contained in this guide, and upon one Full Application competitive priority. Funding decisions will be made based upon the quality of the Full Applications, the recommendations of the peer review panel, and following the procedures in section 75.217 of the Education Department General Administrative Regulations (EDGAR). The Department may use on-site visits in selecting applicants for funding.

The closing date for **receipt** of Full Applications is **October 11, 2002**, which is 6 weeks after the date applicants will be invited to submit Full Applications. All Full Applications *must be received* by the Department of Education's Application Control Center on or before that deadline date (by 4:30 p.m., Eastern Standard Time, if hand-delivered). Any Full Applications received after that deadline will not be read. The Department requires applicants to submit one signed original and at least two copies of the complete Full Application. To expedite the review, we would appreciate it if applicants would submit two additional copies if possible.

Upon receipt, the Application Control Center will assign each Pre-Application and Full Application an identification number, and advise you of that number in a notification of receipt. Please refer to this number in any further correspondence concerning your application(s).

The Department anticipates announcing Early Reading First Grant awards in December 2002. For further information concerning this program or the application process, please use our web site at the above address. If you have a specific question, please contact Patricia McKee by e-mail at [erf@ed.gov](mailto:erf@ed.gov), or contact Tracy Bethel or Jennifer Flood by telephone at (202) 260-4555. You can also contact the Early Reading First staff by mail at:

Early Reading First Grant Program  
attn: Patricia McKee, Group Leader  
Early Childhood Education and Reading  
Student Achievement and School Accountability Programs  
U.S. Department of Education  
Office of Elementary and Secondary Education  
400 Maryland Avenue, SW  
Washington, DC 20202-6132

Again, thank you for your interest and for your commitment to improving early education programs for our at-risk children.

Sincerely,

Susan B. Neuman, Ed.D.  
Assistant Secretary  
Elementary and Secondary Education



***Section B:***

**EARLY READING FIRST**  
**PROGRAM OVERVIEW**



**THE CHALLENGE:  
TO PROVIDE HIGH QUALITY EARLY CHILDHOOD EDUCATION  
PROGRAMS FOR AT-RISK PRESCHOOL AGE CHILDREN TO  
PREVENT LATER READING DIFFICULTIES AND ENSURE READING  
SUCCESS**

Many children in our country do not have access to high-quality preschool services; this is particularly true of children living in poverty. Studies show that a high percentage of children from low-income families attend preschool programs that may successfully address other developmental domains, but that often fail to provide the language, cognitive, and early reading instruction and activities needed to support school readiness. These children are more likely to be enrolled in preschool programs that have high annual staff turnover, have less access to research-based materials and resources in language, cognitive, and reading development, and have less professional development in those areas.

Prevention of academic difficulties has been shown to be more effective than later remediation. The data are very clear about what happens to children who start school behind, particularly in their development of language, cognitive, and early reading skills. They stay behind. Juel (1988) found that 87 percent of children who were poor readers at the end of the first grade remained poor readers at the end of fourth grade. However, we have found that we can reduce this failure significantly with appropriate scientifically based early intervention in preschool, kindergarten and first and second grade (see Ramey & Campbell, 1991). Furthermore, follow-up studies confirmed that the earlier significant academic advantage associated with high quality preschool services persisted through ten years in school (Ramey & Campbell, 1994, 1995).

The research of the last several years is compelling about the kinds of skills young children must have to become successful readers. These skills include *oral language* (expressive and receptive language, including vocabulary development), *phonological awareness* (rhyming, blending, segmenting), *awareness of the conventions of print*, and *alphabet knowledge* (letter recognition). Reading is a learned skill, not a biological awakening. Therefore, children need coherent, skill-based instruction in these areas during the years before entering kindergarten. Research shows that children who participate in high-quality preschool programs benefit during those early years, upon kindergarten entry, and for years to come. These children have higher reading and math scores, less grade retention, better social skills, fewer teen pregnancies, and less participation in welfare programs (see Reynolds, 2000; Schweinhart & Weikart, 1980).

The ultimate goal of Early Reading First is to prevent later reading difficulties. The program is designed to prepare children to enter kindergarten with the necessary cognitive, early language and literacy skills for success in school. Preschool classroom environments will be rich in age-appropriate print. Preschool teachers will deliver intentional and explicit instruction based upon scientific research, and will conduct ongoing screening assessments to determine what skills children are learning and to identify children who may be at risk for reading failure. Preschool staff will be provided with continuous and ongoing professional development that includes mentoring and coaching in the classroom. Through these research-based strategies, Early Reading First provides an unique opportunity to make dramatic improvements in how we teach our preschool age children and prepare them for future reading and school success.

## **MEETING THE CHALLENGE: THE EARLY READING FIRST PROGRAM**

The Early Reading First Program brings a unique and bold approach to improving preschool programs for our nation's at-risk children, including children with disabilities and limited English proficiency. Early Reading First provides funding and support to turn preschool programs into centers of excellence by improving instruction and classroom environments through scientific research-based practices in language, cognition and early reading. Many of America's children face daunting challenges as they enter kindergarten lacking the necessary skills to learn how to read. Early Reading First offers an exciting opportunity to support the President's new Early Childhood Initiative and begin to meet this challenge by helping to ensure that children are provided with high-quality preschool education.

Specifically, Early Reading First grants will provide funds to:

- support local efforts to enhance the early language, cognitive, and early reading development of preschool age children, particularly those from low-income families, through strategies and professional development that are based on scientifically based reading research;
- provide preschool age children with cognitive learning opportunities in high-quality language and print-rich environments so that they can attain the fundamental knowledge and skills necessary for optimal reading development in kindergarten and beyond;
- use language and literacy activities based on scientifically based reading research to support the age-appropriate development of:
  - oral language (vocabulary development, expressive language, and listening comprehension)
  - phonological awareness (rhyming, blending, segmenting)
  - print awareness
  - alphabet knowledge (letter recognition);
- use screening assessments or other appropriate measures to identify preschool age children who may be at risk for reading failure, and to determine whether those children are developing the language, cognitive, and early reading skills they need for later reading success; and
- integrate instructional materials and programs based on scientifically based reading research into existing preschool programs.

## PROGRAM OVERVIEW

The ultimate goal of the Early Reading First Program is to improve the school readiness of our nation's young children, especially those from low-income families, by providing support for early childhood education programs serving preschool age children so they may become centers of educational excellence. This goal supports the President's new Early Childhood Initiative to improve early childhood education and strengthen early learning for young children.

Through multi-year awards to highly committed eligible local educational agencies (LEAs) with at-risk children, and public and private organizations located in communities served by those eligible LEAs, the Early Reading First Program is intended to ensure that preschool age children have the instruction, experiences, and environment that they need to enter kindergarten prepared for continued learning.

<h3>What Projects Must Do</h3>
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All Early Reading First projects must provide the following activities: —

1. **Classroom environment** — Provide preschool age children with **high-quality oral language and print-rich environments** in which to acquire language, cognitive, and early reading skills. Applicants must serve primarily children from low-income families, including meeting the diverse needs of children who are limited English proficient or have special needs, with accommodations as appropriate for children with disabilities.
2. **Professional development** — Provide **professional development** for staff that is based on scientifically based reading research knowledge of language, cognitive, and early reading development that will assist in developing the preschool age children's—
  - oral language (expressive and receptive language, including vocabulary development);
  - phonological awareness (rhyming, blending, segmenting);
  - print awareness; and
  - alphabet knowledge (letter recognition).
3. **Services and instructional materials**— Identify and **provide activities and instructional materials** that are based on scientifically based reading research for use in developing language, cognitive, and early reading skills.
4. **Screening assessments** — Acquire, provide training in the use of, and implement **screening reading assessments** or other appropriate measures that are based on scientifically based reading research to determine whether preschool age children are developing the language, cognitive, and early reading skills they need for later reading success.

5. **Integration** — Integrate those instructional materials, activities, tools, and measures into the applicant’s overall program(s).

You can find more information about these activities, and research-based approaches and strategies for them, in the Early Reading First Program guidance, Question B-2.



**The Early Reading First Program Guidance is available on the Department’s website at:**  
<http://www.ed.gov/offices/OESE/earlyreading/index.html>.



Early Reading First projects also must do the following:

6. **Coordinate with Reading First** — If they are located in a school district that receives a subgrant under the Reading First program, coordinate their Early Reading First activities with the school district’s Reading First activities to ensure continuity for children between the pre-kindergarten program and kindergarten through grade 3 reading instruction.
7. **Report Annually** — Submit to the Department annual performance reports that describe, at a minimum:
  - the research-based instruction, materials, and activities being used in the preschool programs supported with Early Reading First funds;
  - the types of preschool programs supported with Early Reading First funds, and the number and ages of children served by those programs;
  - the number and qualifications of the program staff who provide language, cognitive, and early reading instruction under those preschool programs and the type of ongoing professional development provided to that staff; and
  - the results of the grantee’s evaluation of the success of the activities supported with Early Reading First funds in enhancing the language, cognitive, and early reading development of the preschool age children served by the project.



The Secretary encourages applicants to propose comprehensive approaches in designing their Early Reading First programs to ensure that preschool age children will possess the reading readiness skills they will need in school. For example, research shows that the following activities are important ingredients in young children’s acquisition and retention of language, cognitive, and early reading skills:

- **Parent engagement** — Provide parent training and other services supporting parents’ engagement in their children’s preschool education. For more information about engaging parents in their children’s language, cognitive, and early reading

development, and providing educational training in those parenting skills, see the Early Reading First guidance, Question E-4.

- **Continuity with kindergarten and elementary programs** — Have a plan for facilitating preschool age children’s transition to elementary school, to ensure that the children continue the learning gains they have made in the preschool program and that the preschool program is aligned with elementary school State academic standards. For more information about helping sustain the learning gains of preschool age children when they enter elementary school, see the Early Reading First guidance, Question E-5.
- **Intensity of services** — Studies also show that there is a relationship between the intensity of services provided to children and the outcomes they demonstrate. Think about how to increase the *intensity* of those preschool education services that focus on language and cognitive development, in addition to increasing the quality of the instruction, early learning environment, and professional development.

### Who May Apply

The following LEAs and public and private organizations and agencies may apply for an Early Reading First Program grant for the fiscal year (FY) 2002 Early Reading First Program competition:

1. One or more LEAs that are eligible under Reading First criteria, as designated for the purposes of the FY 2002 Early Reading First grant competition on the list of eligible LEAs on the Department’s Early Reading First website at <http://www.ed.gov/offices/OESE/earlyreading/index.html>.
2. One or more public or private organizations or agencies located in a community served by one of those eligible LEAs on the list. Unless the public or private organization is a preschool program applying on its own behalf, it must apply on behalf of one or more programs that serve preschool age children (such as a Head Start program, a child care program, a family literacy program such as Even Start, or a lab school at a university).
3. One or more of the eligible LEAs, applying in collaboration with one or more of the eligible organizations or agencies.

The list of eligible LEAs for the purposes of the FY 2002 Early Reading First grant competition is based upon Reading First statutory criteria and was compiled in compliance with the *Federal Register Notice of Deadline for State Educational Agencies to Identify Eligible Local Educational Agencies for Early Reading First and of Alternate Eligibility Standard for the Initial Year's (Fiscal Year 2002) Early Reading First Grant Competition*, 67 FR 17594 (April 10, 2002), and with the *Federal Register Notice Revising Deadline Requirements for State Lists of Eligible Local Educational Agencies (LEAs) for the Initial Year's (Fiscal Year (FY) 2002) Early*

*Reading First Grant Competition*, 67 FR 37785 (May 30, 2002). For more information about eligibility, see the Early Reading First Program guidance, Part D.

## **How The Application Process Will Work**

General Award Information. Early Reading First is a national competitive grant program that is directly administered by the U.S. Department of Education (ED). ED will award grants based on the quality of the applications, the recommendations of a peer review panel, and regulatory criteria in section 75.217 of the Education Department General Administrative Regulations (EDGAR). In making awards, the Department may take into consideration other information that is relevant to obtaining a variety of types of funded projects and an equitable distribution of awards throughout the nation. Approximately \$75,000,000 is available for Early Reading First Program grants for FY 2002, with an expected award date in December 2002. The Department expects to award between 50 – 300 grants, ranging in size from \$250,000 to \$1.5 million each per year.

An applicant may propose activities for a project period of up to 3 years. Subject to the availability of appropriated funds, continuation awards will be made for each budget period after the first year if the grantee has demonstrated substantial progress toward meeting the objectives in its approved application or has obtained the Department's approval of no-cost changes in the project that will enable the grantee to meet these objectives. In addition, the grantee must submit a satisfactory performance report, and continuation of the project must be in the best interest of the Federal Government.

The Secretary is particularly interested in Early Reading First projects that will serve a significant number of children with special needs, including those with disabilities and those who are limited English proficient. These programs would, through appropriate accommodations, provide those children with access to the same high quality environments and early reading curricula and activities based on scientifically based reading research, to support the age appropriate development of oral language, phonological awareness, print awareness and alphabetic knowledge.

Application Process. The grant competition will include a Pre-Application and Full Application. All applicants will submit a Pre-Application Narrative that includes the following—

- A brief description (up to 2 pages) of the existing early childhood education program(s) serving preschool age children (preschool programs) that they propose to support with Early Reading First funds; and
- Up to 10 additional pages addressing the following four key concepts related to their proposed project, and Pre-Application Competitive Priority 2 (Children from Low-



Income Families)—

- a statement of their vision;
- a discussion of the key scientifically based research in language, cognitive, and early reading development on which their program will be based, and how their project design is tied to that research;
- a discussion of proposed activities that promote continuity between preschool and kindergarten through third grade; and
- a description of an on-going evaluation process that the applicant would use to measure success.

Applicants also will submit a Pre-Application Estimated Budget. The specific requirements for the Pre-Application, the selection criteria for the Pre-Application, and the three Pre-Application competitive priorities, are described later in this application guide under the “Pre-Application” section. A panel of experts will evaluate each Pre-Application based upon that selection criteria and the competitive priorities. The Department will inform applicants of the outcome of the Pre-Application phase.

The Department only will consider for invitation to submit Full Applications those applicants whose Pre-Applications the panel of experts rates highly in the competitive Pre-Application review process and recommends as having the potential to become successful projects that are centers of excellence for early learning. The specific requirements and process for the Full Application are described later in this application guide under the “Full Application” section. A peer review panel of experts will evaluate each Full Application based upon specific Full Application selection criteria explained in that section and one competitive priority, and recommend applications for funding based upon the quality of the Full Applications under those criteria and that priority.

The Department will use the procedures in EDGAR, section 75.217, to determine which applicants receive funding, including the possible use of on-site reviews for some or all of the highest quality Full Applications following the peer review process. When making awards, the Department may take into consideration other information that is relevant to obtaining a variety of types of funded projects and an equitable distribution of awards throughout the nation, such as geographical representation, location in high-need urban and rural areas, project size, and type of program.



**Section C:**

**FEDERAL REGISTER NOTICE**  
**AND PROGRAM AUTHORIZATION**



**FEDERAL REGISTER NOTICE INVITING  
APPLICATIONS FOR NEW AWARDS  
FOR A FISCAL YEAR 2002 COMPETITION  
FOR THE EARLY READING FIRST PROGRAM**

4000-01-U

DEPARTMENT OF EDUCATION

(CFDA No.: 84.359A (Pre-Application) and 84.359B (Full Application))

Early Reading First Program

Notice inviting applications for new awards for fiscal year (FY) 2002.

**SUMMARY:** The Secretary invites applications for new grant awards for FY 2002 for the Early Reading First Program. These grants are authorized by subpart 2, part B, title I, of the Elementary and Secondary Education Act (ESEA), as amended by the No Child Left Behind Act, Public Law 107-110. The Secretary also announces final procedures, requirements, and priorities for this competition.

PURPOSE OF PROGRAM

The purpose of the Early Reading First Program is to create preschool centers of excellence by improving the instruction and classroom environment of early childhood programs that are located in urban or rural high-poverty communities and that serve primarily children from low-income families. These programs will provide preschool age children, including children with disabilities and children with limited English proficiency, with high-quality environments and early reading curricula and activities, based on scientifically based reading research, to support the age-appropriate development of: oral language, phonological awareness, print awareness, and alphabetic knowledge. These activities (with tactile and communication accommodations for children with disabilities, as appropriate), in combination with professional development based on scientific research and with screening assessments, will form an integrated, coherent instructional program that will further children's language and literacy skills and prevent them from encountering reading difficulties when they enter school.

These grants complement the Reading First State Grants Program, which provides support for high-quality, scientifically based classroom-focused reading instruction for kindergarten through grade three. The Early Reading First Program is joined by several other significant endeavors that are designed to enhance the school readiness of young children, such as the Department's Early Childhood Educator Professional Development Grants Program, which is

designed to improve the knowledge and skills of early childhood educators, and the Preschool Curriculum Evaluation Research Grants Program, which will implement rigorous evaluations of preschool curricula to provide information to support informed choices of classroom curricula for early childhood programs.

Early Reading First grants will help support the President's new Early Childhood Initiative, by strengthening early learning environments and instruction for young children. These grants also will support that initiative by helping ensure that preschool programs are more closely coordinated with State educational goals, including goals for kindergarten through grade 12, so that there is continuity with formal school instruction and so that what children are doing before they enter school is aligned with what is expected of them once they are in school.

Early Reading First grants will use research-based strategies to generate information about effective practices in providing children with the essential language, literacy, and cognitive experiences that will best prepare them for later school success. The Department plans to disseminate information about Early Reading First projects that prove to be effective models for early childhood education.

APPLICATIONS AVAILABLE: June 7, 2002.

DEADLINE FOR RECEIPT OF APPLICATIONS: Pre-Application: July 15, 2002 (by 4:30 p.m., if hand delivered). Full Application (for invited applicants only): October 11, 2002 (by 4:30 p.m., if hand delivered) (which is at least 6 weeks after the date applicants will be invited to submit Full Applications).

DEADLINE FOR INTERGOVERNMENTAL REVIEW: December 10, 2002.

ESTIMATED AVAILABLE FUNDS: \$75,000,000.

ESTIMATED RANGE OF AWARDS (per year): \$250,000 - \$1,500,000.

ESTIMATED AVERAGE SIZE OF AWARDS (per year): \$425,000 (based on 175 awards).

ESTIMATED NUMBER OF AWARDS: 50 - 300.

NOTE: The Department is not bound by any estimates in this notice.

PROJECT PERIOD: Up to three years.

SUPPLEMENTARY INFORMATION

Background:

As the President's new Early Childhood Initiative recognizes, research demonstrates the strong relationship between high-quality educational experiences for children before kindergarten and their later success in school. The

National Research Council report, Preventing Reading Difficulties in Young Children (1998), concludes that the majority of reading problems faced by today's adolescents and adults could have been avoided or resolved in the early years of childhood. The Cost, Quality and Child Outcomes report (June 1999), partially funded by the Department, concludes that children's cognitive and social competence in the second grade can be predicted by the experiences that they had four years previously in child care, even after taking into account kindergarten and first-grade classroom experiences. The report also found that children who have traditionally been at risk for not doing well in school are more affected by the quality of child care experiences than are other children.

Early Reading First grants will help meet this challenge by funding projects that demonstrate the capacity to provide high-quality, research-based experiences in language and early literacy for preschool age children. These grants will improve the instruction and environment of programs primarily serving young children living in poverty, in programs such as Title I preschools and schoolwide programs, Head Start, Even Start Family Literacy programs, and publicly funded or subsidized child care.

Early Reading First projects must provide the following activities, with accommodations as needed for children with disabilities: high-quality oral language and print-rich environments; professional development for staff based on scientifically based reading research knowledge of language, cognitive, and early reading development that will assist in developing preschool age children's oral language, phonological awareness, print awareness, and alphabet knowledge; activities and instructional materials based on scientifically based reading research for use in developing language, cognitive, and early reading skills; acquisition, training, and implementation of screening reading assessments; and integration of the instructional materials, activities, tools, and measures into the applicant's overall programs. These activities, required by section 1222(d) of the ESEA, are more specifically described in the application guide.

The Secretary is particularly interested in Early Reading First projects that will serve a significant number of children with special needs, including those with disabilities and those with limited English proficiency. These programs would provide those children access, through appropriate accommodations, to the same high-quality environments and early reading curricula and activities based on scientifically based reading research as would be

provided to children without special needs, to support their age-appropriate development of oral language, phonological awareness, print awareness, and alphabetic knowledge.

Eligible Applicants: (1) One or more local educational agencies (LEAs) identified as being eligible on the list of "Eligible LEAs" on the Department's Web site at <http://www.ed.gov/offices/OESE/earlyreading/index.html>; (2) one or more public or private organizations or agencies located in a community served by one of those LEAs, which organization or agency is acting on behalf of one or more programs (which may include themselves) that serve young children, such as a Head Start program, a child care program, an Even Start program; or (3) one or more of the eligible LEAs, applying in collaboration with one or more of the eligible organizations or agencies. In addition to obtaining the list of "Eligible LEAs" from the Department's Web site, the public may obtain that list by contacting one of the individuals identified below under FOR APPLICATIONS AND FURTHER INFORMATION CONTACT.

Definitions: As defined for the Early Reading First Program under section 1221(b)(2) and (3) of the ESEA, the terms listed have the following meanings:

(1) The term "scientifically based reading research," as defined in section 1208(6) of the ESEA, means research that—

(A) applies rigorous, systematic, and objective procedures to obtain valid knowledge relevant to reading development, reading instruction, and reading difficulties; and

(B) includes research that—

(i) employs systematic, empirical methods that draw on observation or experiment;

(ii) involves rigorous data analyses that are adequate to test the stated hypotheses and justify the general conclusions drawn;

(iii) relies on measurements or observational methods that provide valid data across evaluators and observers and across multiple measurements and observations; and

(iv) has been accepted by a peer-reviewed journal or approved by a panel of independent experts through a comparably rigorous, objective, and scientific review.

(2) The term "screening reading assessment," as defined in section 1208(7)(B) of the ESEA, means an assessment that is—

(i) valid, reliable, and based on scientifically based reading research; and



(ii) a brief procedure designed as a first step in identifying children who may be at high risk for delayed development or academic failure and in need of further diagnosis of their need for special services or additional reading instruction.

Applicability of Regulations: The following provisions of the Education Department General Administrative Regulations (EDGAR) contained in Title 34 of the Code of Federal Regulations (CFR) apply to these Early Reading First Program grants: 34 CFR parts 74, 75, 77, 79, 80, 81, 82, 85, 86, 97, 98, and 99.

WAIVER OF PROPOSED RULEMAKING: It is the Secretary's practice, in accordance with the Administrative Procedure Act (5 U.S.C. 553), to offer interested parties the opportunity to comment on proposed rules that are not taken directly from statute. Ordinarily, this practice would have applied to the priorities and requirements in this notice. Section 437(d)(1) of the General Education Provisions Act (GEPA), however, exempts from this requirement rules that apply to the first competition under a new or substantially revised program. The Secretary, in accordance with section 437(d)(1) of GEPA, has decided to forgo public comment with respect to the rules in this grant competition in order to ensure timely awards. These rules will apply only to the FY 2002 grant competition.

APPLICATION PROCESS: The FY 2002 Early Reading First grant competition will be conducted through a Pre-Application and Full Application process. All applicants must submit a Pre-Application, which must include a narrative that briefly describes the existing preschool program(s) to be supported and improved with Early Reading First funds, and then addresses four key concepts related to the proposed project that are described below under Pre-Application Selection Criteria. In addition, the Pre-Application must include an estimated budget and brief budget justification. The Pre-Application is limited to: 2 double-spaced pages for describing the context, 10 double-spaced pages to address the selection criteria and priorities, and 3 double-spaced pages for the budget justification, with formatting requirements and limited appendices that are described in the application guide.

The Secretary, through a peer review panel of experts convened under section 1203(c)(2) of the ESEA in accordance with section 1222(c) of the ESEA, will evaluate each Pre-Application based upon the Pre-Application selection criteria and three competitive priorities included in this notice. The Secretary will invite those applicants to submit Full Applications whose Pre-Applications the peer

review panel rate highly in the competitive Pre-Application review process and recommend as having the potential to become successful projects. The Department will inform applicants of the outcome of the Pre-Application phase.

The Full Application must include a narrative addressing the Full Application selection criteria, a budget, and a budget narrative. Those Full Application selection criteria are different than the Pre-Application selection criteria. The Secretary, through a separate peer review panel of experts also convened under section 1203(c)(2) of the ESEA in accordance with section 1222(c) of the ESEA, will evaluate each Full Application based upon the Full Application selection criteria and Full Application competitive priority included in this notice. The Full Application is limited to: 35 pages for the narrative, and 5 pages for the budget narrative, with formatting requirements and limited appendices that are described in the application guide.

The Secretary will select applicants for funding based on the quality of the Full Applications and the recommendations of the Full Application peer review panel. The Secretary will consider for funding only those applications that the peer review panel recommends as demonstrating the greatest potential for creating improvements in early childhood education programs and for becoming successful projects that are centers of excellence for early learning.

In making funding decisions, the Department will use the procedures in EDGAR, 34 CFR 75.217, which may include the use of on-site reviews for some or all Full Applications following the peer review process. When making awards, the Secretary may take into consideration other information that is relevant to obtaining a variety of types of funded projects and an equitable distribution of awards throughout the nation, such as geographical representation, location in high-need urban and rural areas, project size, and type of program. The Department anticipates making final awards in December 2002.

#### PRE-APPLICATION PRIORITIES

Pre-Application Competitive Priorities: Under 34 CFR 75.105(c)(2), the Secretary gives three separate competitive preferences to Pre-Applications as follows:  
Pre-Application Competitive Priority 1 – State Educational System Partnership

Early Reading First projects that are operated by a partnership that includes at least the following two partners: (1) a State educational agency (SEA) or a local educational agency (LEA) (or both); and (2) a preschool

that is not under the administrative control of an LEA. The Secretary considers a preschool to be under the administrative control of an LEA for the purpose of this competitive priority if the LEA is the fiscal agent, operates, supervises, controls, or manages the preschool. A preschool that is located in a school or LEA building is not necessarily under the administrative control of an LEA.

Programs that form new qualifying partnerships for Early Reading First will meet this priority, as will programs operated through existing partnerships between LEAs and preschools that are not under the administrative control of an LEA. To qualify for points under this first Pre-Application competitive priority, at least one partner must qualify as an eligible applicant. In addition, to qualify under this competitive priority all preschools that will be supported by the proposed Early Reading First project must be located in a community served by an eligible LEA or primarily serve children who will attend kindergarten in an eligible LEA (see list of eligible LEAs on the Department's Web site listed above under "Eligible Applicants").

(NOTE: Eligible applicants that meet this competitive priority, if invited to submit a Full Application, must attach a Partnership Agreement to the Full Application that describes the specific responsibilities and roles each partner will have with respect to the Early Reading First project.)

An application that meets this first Pre-Application competitive priority would receive 10 points in the Pre-Application portion of the grant competition. These points are in addition to any points the applicant earns under the Pre-Application selection criteria and any other Pre-Application competitive priority.

This competitive priority is designed to: ensure that the preschool programs supported with Early Reading First funds are closely coordinated and aligned with the State's kindergarten through grade 12 (K - 12) educational system and goals; enhance collaboration and instructional continuity between those preschools and the elementary schools children will enter after preschool; and give State and local support to preschools not part of the State K - 12 public education system.

Pre-Application Competitive Priority 2 - Children from Low-Income Families

The preschool program(s) to be supported by the proposed Early Reading First project primarily serve children from low-income families.

An application that meets this second Pre-Application competitive priority would receive from 0-15 points in the Pre-Application portion of this grant competition, based on the applicant's demonstration of the degree to which the program serves children from low-income families. These points are in addition to any points the applicant earns under the Pre-Application selection criteria or any other Pre-Application competitive priority.

When awarding points, the Secretary will consider the relative percentage of children from low-income families. Applicants must include in their Early Reading First Program Pre-Application Narrative a description of the preschool program(s) to be served by the proposed project, which includes demographic and socioeconomic information on the preschool age children enrolled in those programs. Applicants may use data of their choice to demonstrate that the preschool age children primarily are from low-income families. For example, an applicant may use such information such as census data, the percentage of children receiving a free or reduced price lunch, or other similar measures of poverty to demonstrate the percentage of children from low-income families. The Secretary will consider the different definitions of poverty used in these data sources in determining the extent to which a project primarily serves children from low-income families.

This competitive priority is designed to ensure that Early Reading First funds are used to support local efforts to enhance the early language, literacy, and prereading development, particularly of preschool children who are from low-income families.

#### Pre-Application Competitive Priority 3 – Novice Applicant

The applicant is a novice applicant (or a group of novice applicants) under 34 CFR 75.225 that is otherwise eligible to apply under this competition. A "novice applicant" under 34 CFR 75.225 means the following for this Pre-Application competitive priority: an applicant that has not had an active discretionary grant from the Federal Government in the five years before the deadline date for the Pre-Application in this grant competition. For the purposes of this requirement, a grant is active until the end of the grant's project or funding period, including any extensions of those periods that extend the grantee's authority to obligate funds. In the case of applications from more than one eligible applicant (that is, a group application), every eligible applicant must be a novice applicant to meet this Pre-Application competitive priority.

This competitive priority is included to broaden and diversify the pool of qualified applicants and provide greater opportunities for inexperienced applicants with high-quality applications to receive funding. An application that meets this third Pre-Application competitive priority would receive 5 points in the competition. These points are in addition to any points the applicant earns under the Pre-Application selection criteria or any other Pre-Application competitive priority.

FULL APPLICATION PRIORITY

Under 34 CFR 75.225, the Secretary gives a competitive priority to Full Applications as follows:

Full Application Competitive Priority-Novice Applicant

The applicant is a novice applicant (or a group of novice applicants) under 34 CFR 75.225 that is otherwise eligible to apply under this competition. A "novice applicant" under 34 CFR 75.225 means the following for this initial competition in the new Early Reading First Program: an applicant that has not had an active discretionary grant from the Federal Government in the five years before the deadline date for a Full Application under this grant competition. For the purposes of this requirement, a grant is active until the end of the grant's project or funding period, including any extensions of those periods that extend the grantee's authority to obligate funds. In the case of applications from more than one eligible applicant (that is, a group application), every eligible applicant must be a novice applicant to meet this Full Application competitive priority.

This competitive priority is included to broaden and diversify the pool of qualified applicants and provide greater opportunities for inexperienced applicants with high-quality applications to receive funding. An application that meets this Full Application competitive priority would receive 5 points in the competition. These points are in addition to any points the applicant earns under the selection criteria.

PRE-APPLICATION SELECTION CRITERIA

The Secretary will use the following selection criteria in accordance with 34 CFR 75.200(b)(2) and 75.209 to evaluate Pre-Applications under this grant competition. The maximum score for all of these selection criteria is 100 points. The maximum score for each criterion is indicated in parenthesis with the criterion.

Applicants must first use up to two (2) pages of their applications to describe the context of the existing early childhood education programs serving preschool age children (preschool programs) that they propose to support with

Early Reading First funds. The Secretary recommends that, in the case of center-based programs, applicants generally include no more than a total of 5 centers to ensure that funds are sufficiently concentrated to achieve the program goals. This description must include the following information: the ages and number of children being served; demographic and socioeconomic information on those children; information on the type of special needs that any of the children may have; the average hours the children attend the program (hours/day, days/week, and months/year); primary funding source(s) for the program; the basic instructional program; and the number of staff and their qualifications.

In addition to the 2-page context description, applicants must also include, in the Appendix to the Pre-Application: (1) a list of the names and addresses of the preschool programs that the Early Reading First project will support, and, if the applicant intends to qualify under Pre-Application Competitive Priority 1 (State Educational System Partnership), the name of the eligible LEA in which each preschool is located or the name(s) of the eligible LEA(s) in which the kindergartens are located that the preschool age children primarily will attend; and (2) a one-page organizational chart showing the relationship between the members of the project proposal, which indicates the eligible applicant(s), the fiscal agent, and the preschools to be served.

Each applicant must then use no more than a total of 10 additional pages to address the following selection criteria and Pre-Application Competitive Priority 2 (Children from Low-Income Families). (Pre-Application Competitive Priority 1 (State Educational System Partnership) and Pre-Application Competitive Priority 3 (Novice Applicant) will be addressed by separate forms in the application package.)

Selection Criteria:

(1) Vision (up to 25 points): Starting from the context of the existing early childhood education program(s) that the Early Reading First project would support, applicants must describe their vision for what those programs would look like if they were to become centers of educational excellence. Using the scientific reading research upon which their vision is based, applicants must describe the overall goals for their proposed Early Reading First project.

In evaluating the response to this first Pre-Application selection criterion, the Secretary will consider the clarity, creativity, comprehensiveness, and

feasibility of the overall vision. The Secretary also will consider how well the goals reflect the vision, and the extent to which those goals incorporate high expectations, based on scientific research, for improvements in the early learning environment, curricula, teacher instruction, and enhancing children's language, cognitive, and early reading skills.

(2) Key Research and Program Design (up to 40 points): Applicants must discuss the key scientifically based research in the areas of language, cognitive, and early reading development for preschool age children, and include citations to the sources of that research. Applicants must tie that research to their program design by explaining the research-based strategies they would use, and the changes they would make, which appropriately address the needs of all children in the project including children with special needs, in each of the following core areas: classroom environment, professional development, curricula and instruction, and on-going screening assessment or other appropriate measures to monitor the children's progress. Applicants must explain any changes that they would make in the amount of time the program spends on developing children's language, cognition, and early reading skills, and how they would engage parents in helping with their children's development in those areas.

In evaluating the response to this second Pre-Application selection criterion, the Secretary will consider the relevance and rigor of the research cited, and how well the program design clearly links the proposed strategies with the major findings of up-to-date scientifically based reading research about best practices in language, cognitive, and early reading development. These best practices may include, for example, how the Early Reading First project will create high-quality print-rich environments, use on-going intensive professional development for preschool staff, support children's learning through explicit and scaffolded instruction in phonological awareness, oral language skills, print awareness, and alphabet knowledge, and use continuous screening assessments to monitor children's progress.

The Secretary also will consider the clarity and feasibility of the overall program design, based upon the Pre-Application estimated budget and budget justification and the proposed project activities, including the extent to which, in the case of center-based early education programs for preschool age children, the number of centers to be supported by Early Reading First is limited enough

(generally, to no more than five (5) centers) to achieve the project goals with the amount of funds requested.

(3) Continuity and Coordination with Formal School Instruction (up to 10 points): Applicants must describe how they would work with the LEA that the preschool children would later attend to link the Early Reading First activities with the instructional program in kindergarten through third grade (including with any activities in the LEA under the Reading First State Grants Program authorized by subpart 1 of part B of title I of the ESEA). This will ensure close coordination with the State's educational goals and to promote continuity so that cognitive and literacy gains that children made in the preschool are sustained and supported once the children begin formal classroom instruction. Applicants must indicate whether or not their State has preschool standards in the cognitive domain, and if it does, briefly describe those standards. Applicants must explain how their proposed Early Reading First project would prepare young children to meet their State's preschool content standards (if any) and their State's reading or language arts content standards for kindergarten or the lowest elementary grade for which the State has those content standards.

In evaluating the response to this third Pre-Application selection criterion, the Secretary will consider how well the project design would result in the language, cognitive, and early reading gains children make in preschool being sustained once they begin formal schooling, and how well the Early Reading First strategies and activities would prepare children to meet the State's preschool cognitive standards (if any), and the State's content standards in reading or language arts for the lowest grade for which the State has those standards.

(4) Measuring success (up to 25 points): Applicants must describe how they will evaluate the success of their Early Reading First activities. Specifically, applicants must explain how they will determine whether the early language, literacy, and pre-reading development of the preschool age children served by the Early Reading First Program has improved and been enhanced as a result of their Early Reading First strategies and changes. Applicants must describe the key outcomes that they would expect to see in the classroom environment, instructional practice, and children's learning, how they plan to measure those outcomes, and how they would use the results for continuous program improvement.

In evaluating the response to this fourth Pre-Application selection criterion, the Secretary will



consider how well the expected outcomes are linked to the program's goals, and how well the proposed child measures will demonstrate those outcomes. The Secretary will also consider the validity and rigor of the proposed measures, their appropriateness for the target population, and the degree to which the program will use the results to inform future instruction and program improvement.

#### FULL APPLICATION SELECTION CRITERIA

The Secretary will use the following selection criteria in accordance with 34 CFR 75.200(b)(2) and 75.209 to evaluate Full Applications under this grant competition. The maximum score for all of the Full Applicant selection criteria is 100 points. The maximum score for each criterion is indicated in parenthesis with the criterion.

In addition, when making awards, the Secretary will consider for awards only those high-quality applications that the peer review panel recommends as demonstrating the greatest potential for creating improvements in early childhood education programs and for becoming successful projects that are centers of excellence for early learning. When making awards, the Secretary may take into consideration other information that is relevant to obtaining a variety of types of funded projects and an equitable distribution of awards throughout the nation, such as geographical representation, location in high-need urban and rural areas, project size, and type of program.

In evaluating Full Applications, the Secretary will take into consideration the responsiveness of the applicant to the comments of peer reviewers on the applicant's Pre-Application, including the extent to which the applicant refines its initial vision and the broad plan described in that Pre-Application, based upon the comments of the Pre-Application reviewers and other new information the applicant may have obtained.

#### Selection Criteria:

(a) Significance of project (up to 15 points). (1)  
The Secretary considers the significance of the proposed project.

(2) In determining the significance of the proposed project, the Secretary considers the following factors:

(i) The likelihood that the applicant's vision (as described in the Pre-Application and refined as appropriate for the Full Application) will result in a project that is a center of educational excellence for at-risk preschool age children, as demonstrated by the learning environment, instruction, and student achievement.

(ii) The extent to which the field of early childhood education can benefit from the project through products

such as information, materials, and techniques, and the potential for those resources being used effectively in other settings.

(b) Quality of project activities and services (up to 35 points). (1) The Secretary considers the quality of the proposed project's activities and services.

(2) In determining the quality of the proposed project's activities and services, the Secretary considers the following factors:

(i) The extent to which the applicant presents a detailed plan (with research citations where appropriate) that describes the activities and services that the project will provide, to support the development of language, cognitive, and early reading skills for preschool age children, in all of the following areas, and how those activities and services are based on up-to-date knowledge from scientifically based reading research:

(A) Providing a rich oral language and print-rich environment.

(B) Preparing and providing ongoing assistance to staff, through professional development and other support.

(C) Providing services and using instructional materials and activities, and integrating those instructional materials and activities into the applicant's preschool programs and family literacy services.

(D) Using screening reading assessments or other appropriate measures to determine the skills children are learning and identify children who might be at risk of reading failure.

(E) Helping children, especially those experiencing difficulty with language and early reading skills, to make the transition from preschool to formal classroom instruction.

(F) Involving parents meaningfully in their children's early education.

(ii) The extent to which the planned activities and services in each of the above areas will help staff in the programs to meet more effectively the diverse needs of preschool age children in the community, including those with limited English proficiency, disabilities, or other special needs.

(c) Quality of project personnel (up to 10 points).

(1) The Secretary considers quality of project personnel.

(2) In determining the quality of project personnel, the Secretary considers the following factors:

(i) The strength of the qualifications, including relevant training and experience, of the project staff.

(ii) The strength of the qualifications, including relevant training and experience, of personnel with whom the project will contract to assist in project activities, including research-based professional development for staff to support children's development of language, cognitive, and early reading skills.

(d) Quality of management plan (up to 20 total points). (1) The Secretary considers the quality of the management plan for the proposed project.

(2) In determining the quality of the management plan, the Secretary considers the feasibility of the proposed project and the likelihood that the project will be able to achieve its expected goals (as described in the applicant's Pre-Application and refined as appropriate for the Full Application), taking into consideration the strength of any partnership, and using the following factors:

(i) The adequacy of the management plan to achieve the goals of the proposed project on time and within budget, including: clearly defined goals, activities, responsibilities, and timeline for accomplishing project tasks (up to 10 points).

(ii) The extent to which the time commitments of the project director and principal investigator and other key project personnel, including any partnership commitments, are appropriate and adequate to meet the objectives of the proposed project (up to 5 points).

(iii) The extent to which the proposed costs are adequate in relation to the proposed activities, the number of persons to be served, and the anticipated results and benefits (up to 5 points).

(e) Quality of the project evaluation (up to 20 total points).

(1) The Secretary considers the quality of the proposed project evaluation.

(2) In considering the quality of the proposed project evaluation, the Secretary considers the extent to which the methods of evaluation include the use of objective, valid, and reliable performance measures that are clearly related to the intended outcomes of the project and will produce quantitative and qualitative data in the following areas:

(i) Improvement in classroom environment (up to 5 points).

(ii) Improvement in teacher knowledge and qualifications (up to 5 points).

(iii) Improvement in teacher instruction and planning (up to 5 points).

(iv) Improvement in outcomes for children's language, cognitive, and early reading skills (up to 5 points).

PAPERWORK REDUCTION ACT CONSIDERATIONS: The procedures and requirements contained in this notice relate to an application package that the Department has developed for the Early Reading First Program grants. The public may obtain copies of this application package by calling or writing the individual identified below as the Department's contact, or through the Department's Web site at:

[www.ed.gov/GrantApps/#84.359](http://www.ed.gov/GrantApps/#84.359)

or

<http://www.ed.gov/offices/OESE/earlyreading/index.html>

As required by the Paperwork Reduction Act, the Office of Management and Budget has approved the use of this application package under OMB control number 1810-0654, which expires October 31, 2002.

FOR APPLICATIONS CONTACT: Education Publications Center (ED Pubs), P.O. Box 1398, Jessup, MD 20794-1398. Telephone (toll free): 1-877-433-7827. FAX: (301) 470-1244. If you use a telecommunications device for the deaf (TDD), you may call (toll free): 1-877-576-7734.

You may also contact ED Pubs at its Web site:

<http://www.ed.gov/pubs/edpubs.html>

Or you may contact ED Pubs at its e-mail address:

[edpubs@inet.ed.gov](mailto:edpubs@inet.ed.gov)

If you request an application from ED Pubs, be sure to identify this competition as follows: CFDA number 84.359.

The public also may obtain a copy of the application package on the Department's Web site at the following address: [www.ed.gov/GrantApps/#84.359](http://www.ed.gov/GrantApps/#84.359).

FOR FURTHER INFORMATION CONTACT: Tracy Bethel or Jennifer Flood, Office of Elementary and Secondary Education, 400 Maryland Avenue SW, Washington, DC 20202-6132. Telephone: (202) 260-4555, or via Internet: [erf@ed.gov](mailto:erf@ed.gov).

If you use a telecommunications device for the deaf (TDD), you may call the Federal Information Relay Service (FIRS) at 1-800-877-8339. Individuals with disabilities may obtain this document in an alternative format (e.g., Braille, large print, audiotape, or computer diskette) on request to the contact person listed in the preceding paragraph.

Individuals with disabilities may obtain a copy of the application package in an alternative format by contacting that person. However, the Department is not able to reproduce in an alternative format the standard forms included in the application package.

#### Electronic Access to This Document

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<http://www.ed.gov/legislation/FedRegister/>

To use PDF, you must have Adobe Acrobat Reader, which is available free at this site. If you have questions about using PDF, call the U.S. Government Printing Office (GPO), toll free, at 1-888-293-6498; or in the Washington, DC area at (202) 512-1530.

Note: The official version of this document is the document published in the Federal Register. Free Internet access to the official edition of the Federal Register and the Code of Federal Regulations is available on GPO Access at:

<http://www.access.gpo.gov/nara/index.html>

PROGRAM AUTHORITY: 20 U.S.C. 6371-6376 and Public Law No. 107-110.

Dated: June 3, 2002

/s/

Susan B. Neuman, Ed.D.  
Assistant Secretary  
for Elementary and Secondary  
Education.



**AUTHORIZING STATUTORY LANGUAGE**

**EARLY READING FIRST**

**SUBPART 2 OF PART B OF TITLE I**

**OF THE ELEMENTARY AND SECONDARY EDUCATION ACT**

**SEC. 1221. PURPOSES; DEFINITIONS**

(a) **PURPOSES-** The purposes of this subpart are as follows:

(1) To support local efforts to enhance the early language, literacy, and prereading development of preschool age children, particularly those from low-income families, through strategies and professional development that are based on scientifically based reading research.

(2) To provide preschool age children with cognitive learning opportunities in high-quality language and literature-rich environments, so that the children can attain the fundamental knowledge and skills necessary for optimal reading development in kindergarten and beyond.

(3) To demonstrate language and literacy activities based on scientifically based reading research that supports the age-appropriate development of —

(A) recognition, leading to automatic recognition, of letters of the alphabet;

(B) knowledge of letter sounds, the blending of sounds, and the use of increasingly complex vocabulary;

(C) an understanding that written language is composed of phonemes and letters each representing one or more speech sounds that in combination make up syllables, words, and sentences;

(D) spoken language, including vocabulary and oral comprehension abilities; and

(E) knowledge of the purposes and conventions of print.

(4) To use screening assessments to effectively identify preschool age children who may be at risk for reading failure.

(5) To integrate such scientific reading research-based instructional materials and literacy activities with existing programs of preschools, child care agencies and programs, Head Start centers, and family literacy services.

(b) **DEFINITIONS-** For purposes of this subpart:

(1) **ELIGIBLE APPLICANT-** The term 'eligible applicant' means —

(A) one or more local educational agencies that are eligible to receive a subgrant under subpart 1;

(B) one or more public or private organizations or agencies, acting on behalf of one or more programs that serve preschool age children (such as a program at a Head Start center, a child care program, or a family literacy program), which organizations or agencies shall be located in a community served by a local educational agency described in subparagraph (A); or

(C) one or more local educational agencies described in subparagraph (A) in collaboration with one or more organizations or agencies described in subparagraph (B).

(2) **SCIENTIFICALLY BASED READING RESEARCH-** The term 'scientifically based reading research' has the same meaning given to that term in section 1208.

(3) **SCREENING READING ASSESSMENT-** The term 'screening reading assessment' has the same meaning given to that term in section 1208.

**SEC. 1222. LOCAL EARLY READING FIRST GRANTS.**

(a) **PROGRAM AUTHORIZED-** From amounts appropriated under section 1002(b)(2), the Secretary shall award grants, on a competitive basis, for periods of not more than 6 years, to eligible applicants to enable the eligible applicants to carry out the authorized activities described in subsection (d).

(b) APPLICATIONS- An eligible applicant that desires to receive a grant under this section shall submit an application to the Secretary, which shall include a description of —

- (1) the programs to be served by the proposed project, including demographic and socioeconomic information on the preschool age children enrolled in the programs;
- (2) how the proposed project will enhance the school readiness of preschool age children in high-quality oral language and literature-rich environments;
- (3) how the proposed project will prepare and provide ongoing assistance to staff in the programs, through professional development and other support, to provide high-quality language, literacy, and prereading activities using scientifically based reading research, for preschool age children;
- (4) how the proposed project will provide services and use instructional materials that are based on scientifically based reading research on early language acquisition, prereading activities, and the development of spoken vocabulary skills;
- (5) how the proposed project will help staff in the programs to meet more effectively the diverse needs of preschool age children in the community, including such children with limited English proficiency, disabilities, or other special needs;
- (6) how the proposed project will integrate such instructional materials and literacy activities with existing preschool programs and family literacy services;
- (7) how the proposed project will help children, particularly children experiencing difficulty with spoken language, prereading, and early reading skills, to make the transition from preschool to formal classroom instruction in school;
- (8) if the eligible applicant has received a subgrant under subpart 1, how the activities conducted under this subpart will be coordinated with the eligible applicant's activities under subpart 1 at the kindergarten through grade 3 level;
- (9) how the proposed project will evaluate the success of the activities supported under this subpart in enhancing the early language, literacy, and prereading development of preschool age children served by the project; and
- (10) such other information as the Secretary may require.

(c) APPROVAL OF LOCAL APPLICATIONS- The Secretary shall select applicants for funding under this subpart based on the quality of the applications and the recommendations of a peer review panel convened under section 1203(c)(2), that includes, at a minimum, three individuals, selected from the entities described in clauses (ii), (iii), and (iv) of section 1203(c)(2)(A), who are experts in early reading development and early childhood development.

(d) AUTHORIZED ACTIVITIES- An eligible applicant that receives a grant under this subpart shall use the funds provided under the grant to carry out the following activities:

- (1) Providing preschool age children with high-quality oral language and literature-rich environments in which to acquire language and prereading skills.
- (2) Providing professional development that is based on scientifically based reading research knowledge of early language and reading development for the staff of the eligible applicant and that will assist in developing the preschool age children's —
  - (A) recognition, leading to automatic recognition, of letters of the alphabet, knowledge of letters, sounds, blending of letter sounds, and increasingly complex vocabulary;
  - (B) understanding that written language is composed of phonemes and letters each representing one or more speech sounds that in combination make up syllables, words, and sentences;
  - (C) spoken language, including vocabulary and oral comprehension abilities; and
  - (D) knowledge of the purposes and conventions of print.
- (3) Identifying and providing activities and instructional materials that are based on scientifically based reading research for use in developing the skills and abilities described in paragraph (2).
- (4) Acquiring, providing training for, and implementing screening reading assessments or other appropriate measures that are based on scientifically based reading research to determine whether preschool age children are developing the skills described in this subsection.



(5) Integrating such instructional materials, activities, tools, and measures into the programs offered by the eligible applicant.

(e) AWARD AMOUNTS- The Secretary may establish a maximum award amount, or ranges of award amounts, for grants under this subpart.

#### SEC. 1223. FEDERAL ADMINISTRATION.

The Secretary shall consult with the Secretary of Health and Human Services to coordinate the activities under this subpart with preschool age programs administered by the Department of Health and Human Services.

#### SEC. 1224. INFORMATION DISSEMINATION.

From the funds the National Institute for Literacy receives under section 1202(b)(1)(D), the National Institute for Literacy, in consultation with the Secretary, shall disseminate information regarding projects assisted under this subpart that have proven effective.

#### SEC. 1225. REPORTING REQUIREMENTS.

Each eligible applicant receiving a grant under this subpart shall report annually to the Secretary regarding the eligible applicant's progress in addressing the purposes of this subpart. Such report shall include, at a minimum, a description of —

- (1) the research-based instruction, materials, and activities being used in the programs funded under the grant;
- (2) the types of programs funded under the grant and the ages of children served by such programs;
- (3) the qualifications of the program staff who provide early literacy instruction under such programs and the type of ongoing professional development provided to such staff; and
- (4) the results of the evaluation described in section 1222(b)(9).

#### SEC. 1226. EVALUATION

(a) IN GENERAL- From the total amount made available under section 1002(b)(2) for the period beginning October 1, 2002, and ending September 30, 2006, the Secretary shall reserve not more than \$3,000,000 to conduct an independent evaluation of the effectiveness of this subpart.

##### (b) REPORTS-

(1) INTERIM REPORT- Not later than October 1, 2004, the Secretary shall submit an interim report to the Committee on Education and the Workforce of the House of Representatives and the Committee on Health, Education, Labor, and Pensions of the Senate.

(2) FINAL REPORT- Not later than September 30, 2006, the Secretary shall submit a final report to the committees described in paragraph (1).

(c) CONTENTS- The reports submitted under subsection (b) shall include information on the following:

- (1) How the grant recipients under this subpart are improving the prereading skills of preschool children.
- (2) The effectiveness of the professional development program assisted under this subpart.
- (3) How early childhood teachers are being prepared with scientifically based reading research on early reading development.
- (4) What activities and instructional practices are most effective.
- (5) How prereading instructional materials and literacy activities based on scientifically based reading research are being integrated into preschools, child care agencies and programs, programs carried out under the Head Start Act, and family literacy programs.
- (6) Any recommendations on strengthening or modifying this subpart.

## DEFINITIONS REFERRED TO IN EARLY READING FIRST STATUTE

### Section 1208. Definitions. (from Reading First, Subpart 1, Part B, Title I, ESEA)

\* \* \* \* \*

(6) SCIENTIFICALLY BASED READING RESEARCH- The term scientifically based reading research' means research that —

(A) applies rigorous, systematic, and objective procedures to obtain valid knowledge relevant to reading development, reading instruction, and reading difficulties; and

(B) includes research that —

(i) employs systematic, empirical methods that draw on observation or experiment;

(ii) involves rigorous data analyses that are adequate to test the stated hypotheses and justify the general conclusions drawn;

(iii) relies on measurements or observational methods that provide valid data across evaluators and observers and across multiple measurements and observations; and

(iv) has been accepted by a peer-reviewed journal or approved by a panel of independent experts through a comparably rigorous, objective, and scientific review.

\* \* \* \* \*

(7)(B) SCREENING READING ASSESSMENT- The term screening reading assessment' means an assessment that is —

(i) valid, reliable, and based on scientifically based reading research; and

(ii) a brief procedure designed as a first step in identifying children who may be at high risk for delayed development or academic failure and in need of further diagnosis of their need for special services or additional reading instruction.

∞

## **Section D:**

# **EARLY READING FIRST PROGRAM** **PRE-APPLICATION – PHASE 1**

**CFDA No. 84.359A**

### **The Pre-Application Process**

**Pre-Application Deadline**

**Pre-Application Procedures and Instructions**

### **Pre-Application Selection Criteria and Competitive Priorities**

**Pre-Application Selection Criteria**

**Pre-Application Competitive Priority 1 (State Educational System Partnership)**

**Pre-Application Competitive Priority 2 (Children from Low-Income Families)**

**Pre-Application Competitive Priority 3 (Novice Applicant)**

### **Pre-Application Forms**

**ED Form 424 (Application For Federal Assistance — CFDA # 84.359A) (required for all applicants)**

**Pre-Application Form A - Applicant Eligibility (required for all applicants)**

**Pre-Application Form B – Competitive Priority 1 (State Educational System Partnership) (if applicable)**

### **Pre-Application Final Checklist**



## THE PRE-APPLICATION PROCESS

To encourage development of strong proposals that will enhance preschool programs as centers of excellence and cognitive development for at-risk children, and to give applicants sufficient time to prepare competitive proposals for Early Reading First Program funding, the Department will use an initial Pre-Application process to determine which applicants will be considered for invitations to submit Early Reading First Full Applications. This initial phase is intended to allow potential applicants the opportunity to focus on what they want to achieve, how they will use scientifically based research in language, cognitive, and early reading development to change the early learning environment, professional development, curricula, instruction, and assessment, how they will promote continuity between the preschool program and elementary school, and how they will measure success.

### PRE-APPLICATION DEADLINE

The deadline for **receipt of Early Reading First Program Pre-Applications** is **July 15, 2002**. ***Please note that this is a receipt date.*** All Pre-Applications *must be received* by the Department's Application Control Center on or before this deadline date (by 4:30 p.m., Eastern Standard Time, if hand-delivered). The Department will strictly observe this closing date and the following procedures for guaranteeing timely receipt of Pre-Applications. Any Pre-Applications received after this deadline will not be read.

### PRE-APPLICATION PROCEDURES AND INSTRUCTIONS

Applicants must submit one signed original and at least two complete copies of the following: a Pre-Application narrative, with up to a 2-page double-spaced description of the existing preschool program(s), and the equivalent of no more than an additional 10 double-spaced pages addressing the Pre-Application selection criteria and Pre-Application Competitive Priority 2 (Children from Low-Income Families); a Pre-Application Estimated Budget; a Pre-Application Budget Justification that is no more than three double-spaced pages; and the materials indicated in the Pre-Application Final Checklist. Although not required, it will help facilitate the Pre-Application review process if applicants include two additional copies of their Pre-Application.

#### **Pre-Application Narrative**

Peer reviewers will evaluate each Pre-Application on how well it responds to the Pre-Application selection criteria listed below. The maximum number of points that an application may receive on the Pre-Application selection criteria is 100. The applicant should prepare the Pre-Application narrative to respond to the Pre-Application selection criteria in the order in which they are listed. In addition, peer reviewers will evaluate each Pre-Application on the 3 Pre-Application competitive priorities explained below. The maximum number of points that an application may receive on these competitive priorities is: 10 for Competitive Priority 1 (State Educational System Partnership), 15 for Competitive Priority 2 (Children from Low-Income Families), and 5 for Competitive Priority 3 (Novice Applicants). Place the name of the applicant and the page number at the top of each page of the Pre-Application Narrative.

## **Estimated Budget Information and Justification – Pre-Application**

For the Pre-Application, applicants must submit a Pre-Application Estimated Budget for each year of the proposed project, which estimates the annual costs of the following categories: Personnel, Fringe Benefits, Travel, Equipment, Supplies, Contractual, Construction, Indirect Costs, and Training Stipends, and also provides an estimate of the total project cost by year. This Pre-Application Estimated Budget should be accompanied by a Pre-Application Budget Justification that explains in a general narrative fashion how you plan to use the Federal grant funds for each year of the project. This Pre-Application Budget Justification should give reviewers an overall picture of how you will use the grant funds to achieve your project objectives. The Pre-Application Budget Justification must be no more than 3 double-spaced pages. Place the name of the applicant and the page number at the top of each page of the Pre-Application Budget Justification.

The Pre-Application projected budgetary information is only an estimate. Those invited to submit a Full Application will be able to modify this Pre-Application Estimated Budget to reflect the plan of work in the Full Application and will be required to provide more complete budget information at that time. Peer reviewers for the Pre-Application process will use the budget information to gauge the scale and scope of the proposed project, and to help clarify information contained in the Pre-Application Narrative.

## **Page and Formatting Standards**

The following standards apply for both the Pre-Application Narrative and the Pre-Application Budget Justification:

- A page is 8.5”, on one side only, with 1” margins at the top, bottom, and both sides.
- Double space (no more than three lines per vertical inch) all text, including titles, headings, quotations, references, and captions.
- Use a font that is either 12 point or larger or no smaller than 10 pitch (characters per inch).
- Tables, charts, or graphs may use less than 12 point font or 10 pitch, but should be legible.

Reviewers will not evaluate any of the specified sections of your application that exceed the page limit if you apply the above standards or that exceed the equivalent of the page limit if you apply other standards.

**NOTE: Do not include any enclosures or appendices other than those listed on the “Pre-Application Final Checklist.” The Department will instruct peer reviewers to base their evaluations and scoring only on the information contained in up to 2 pages of Context, up to 10 pages of the Pre-Application Narrative, up to 3 pages of the Pre-Application Budget Justification, and the other limited materials listed in the Pre-Application Final Checklist. Any non-print materials, such as videotapes or CDs, will not be considered.**

Please submit the signed original Pre-Application in a format that will ensure that the application stays intact (such as staples or binder clips), and that no pages are lost during our handling and review processes (for example, do not use rubber bands or paper clips). Please do not submit your application bound or in a three-ring binder.

### **Appendices and Other Material**

Your Pre-Application may not include enclosures other than those listed on the *Early Reading First Program Pre-Application Final Checklist*.

### **Instructions for Transmitting Applications**

Applicants must deliver or mail Pre-Applications so that the Department's Application Control Center **receives** the Pre-Application by the deadline date of **July 15, 2002** (by 4:30 p.m., Eastern Standard time, if hand-delivered, including delivery by courier), at:

U.S. Department of Education  
Application Control Center — Room 3671  
Early Reading First Program Grants (Pre-Application)  
Attention: CFDA No. 84.359A  
400 Maryland Avenue, S.W.  
Washington, DC 20202-4725  
Telephone: (202) 708-9493

Pre-Applications received after this deadline will not be read.

**SPECIAL NOTE:** Due to recent disruptions to normal mail delivery, the Department encourages you to consider using an alternative delivery method (for example, a commercial carrier such as Federal Express or United Parcel Service; U.S. Postal Service Express mail; or a courier service) to transmit your Pre-Application to the Department. If you use an alternative delivery method, please follow the instructions for "Pre-Applications Delivered by Hand."

### **Pre-Applications Delivered by Hand**

Hand-delivered Pre-Applications must be delivered to and **received** by the Department's Application Control Center by 4:30 p.m. Eastern Standard Time on or before the deadline date of **July 15, 2002** at the:

U.S. Department of Education  
Application Control Center — Room 3671  
Early Reading First Program Grants (Pre-Application)  
Attention: CFDA No. 84.359A  
General Services Administration National Capital Region  
7th and D Streets, SW  
Washington, DC 20202-4725.

The Application Control Center will accept deliveries between 8:00 a.m., and 4:30 p.m. (Washington, DC time) daily, except Saturdays, Sundays, and Federal holidays.

Individuals delivering applications must use the D Street Entrance. Proper identification is necessary to enter the building. Hand-delivered Pre-Applications received after 4:30 p.m. Eastern Standard Time on the deadline date will not be read.

**Grant Application Receipt Acknowledgment**

If you send your application by mail or if you or your courier deliver it by hand, the Application Control Center will mail a Grant Application Receipt Acknowledgement to you. If you fail to receive the notification of application receipt within fifteen (15) days from the closing date call:

U.S. Department of Education  
Application Control Center  
(202) 708-9493

(If your application is late, we will notify you that we will not consider the application.)



***EARLY READING FIRST PROGRAM***  
***PRE-APPLICATION***  
**SELECTION CRITERIA AND COMPETITIVE PRIORITIES**

Each of the following criteria is critical to the design and implementation of high-quality Early Reading First projects for improving early childhood education programs serving preschool age children (“preschool programs”). Peer reviewers will rate each Pre-Application by assigning up to the total number of points indicated below for each of the responses to the selection criteria and up to the total number of points indicated for each of the 3 competitive priorities. The Secretary will consider for invitations to submit Early Reading First Full Applications only those submissions rated highly in this competitive peer review process **and that are recommended by the peer review panel as having the potential to become successful projects.**

To be competitive at the Pre-Application phase, applicants should propose an approach to creating quality preschool programs that is creative, comprehensive, feasible, and grounded in scientifically based research on effective strategies and professional development in the areas of language, cognitive, and early reading development. This should be evident in the vision of what the applicant intends to achieve, the applicant’s research summary and program design based upon that research, the activities proposed to ensure continuity between preschool and the elementary grades, how the applicant will measure success, and in the applicant’s Pre-Application Estimated Budget and Pre-Application Budget Justification.

The Secretary is particularly interested in Early Reading First projects that will serve a significant number of children with special needs, including those with disabilities and those who are limited English proficient. These programs would, through appropriate accommodations, provide those children with access to the same high quality environments and early reading curricula and activities based on scientifically based reading research, to support the age appropriate development of oral language, phonological awareness, print awareness and alphabetic knowledge. (These applications do not receive any competitive or absolute priority.)

Pre-Applications with the best chance of being rated highly will show evidence of clear linkages between proposed activities and the major findings of up-to-date scientifically based research and best practice about effective preschool programs in the areas outlined in the selection criteria. In addition, the most competitive Pre-Applications will be those that propose a project that will be operated by a partnership that includes a preschool that is not under the administrative control of a local educational agency (LEA), and an LEA or the State educational agency (SEA), to ensure that the preschool programs are closely coordinated and aligned with the State’s kindergarten through grade 12 educational system and goals (Competitive Priority 1). The most competitive Pre-Applications also will demonstrate that the preschool program(s) to be supported by the proposed Early Reading First project primarily serve children from low-income families (Competitive Priority 2). Novice applicants also will receive competitive priority points (Competitive Priority 3).

For further guidance, please also refer to the Early Reading First statute that is located in Section C of this Application Guide. The statute includes the program purposes and required project activities, as well as statutory definitions of key terms such as: scientifically based reading research, and screening reading assessment. You may also find helpful the non-regulatory guidance, frequently asked questions (FAQs), and resource sampler on the Early Reading First website at: <http://www.ed.gov/offices/OESE/earlyreading/index.html>.



## **Pre-Application Selection Criteria for Early Reading First Program**

### ***Step 1 - SET CONTEXT***

Use no more than two (2) pages to describe the existing preschool program(s) that you propose to support and improve with Early Reading First funds. The Secretary recommends that, in the case of center-based programs, the applicant generally include no more than a total of 5 centers in order to ensure that funds are sufficiently concentrated to achieve the program goals. Include a brief description of each of the following: the ages and number of the children being served; demographic and socioeconomic information on those children; information on the type(s) of special needs that any of the children may have; the average hours the children attend the program (hours/day, days/week, and months/year); primary funding source(s); the basic instructional program; and the number of staff and their qualifications. **Include the following in the Appendix to your Pre-Application (see Pre-Application Final Checklist):**

- (1) a list of the names and address(es) of the preschool program(s) that the proposed Early Reading First project would support; and
- (2) a one-page organizational chart showing the relationship between the members of the project proposal, which indicates the eligible applicant(s), the fiscal agent, and the preschools to be served.

### ***Step 2 – ADDRESS EACH OF THE FOLLOWING PRE-APPLICATION SELECTION CRITERIA***

Use no more than a total of 10 pages to address all of the following Pre-Application selection criteria and Competitive Priority 2 (Children from Low-Income Families). (Competitive Priority 1 — State Educational System Partnership, and Competitive Priority 3 — Novice Applicant, are addressed on separate forms.)

1. **Vision:** Start from the context that you described in Step 1 of the existing preschool program(s) that the Early Reading First project would support. Describe your vision about what those programs would look like if they were to become centers of educational excellence, in which every parent in the nation would be excited to enroll his or her child because that child would enter kindergarten prepared for academic success. Using the scientific reading research upon which your vision is based, state the overall goals for your proposed Early Reading First project. (In Pre-Application selection criteria #4, you will provide outcomes and measures relating to these goals.)

*(Peer reviewers will evaluate the response to this criterion on clarity, creativity, comprehensiveness, and feasibility of the overall vision. Reviewers also will evaluate the response to this criteria on how well the goals reflect the vision, and the extent to which those goals incorporate high expectations based on scientific research for improvements in the early learning environment, curricula, teacher instruction, and enhance children's language, cognitive, and early reading skills.)*

**(up to 25 total points)**

- 2. Key Research and Program Design:** Discuss the key scientifically based research in the areas of language, cognitive, and early reading development for preschool age children, and include citations to the sources of that research. Tie that research to your program design, by explaining the research-based strategies you would use and the changes you would make in each of the following core areas: classroom environment, professional development, curricula and instruction, and on-going screening assessments or other appropriate measures to monitor the children's progress that appropriately address the needs of all children in the project, including children with special needs. Explain any changes that you would make in the amount of time the program spends on developing children's language, cognition, and early reading skills, and how you would engage parents in helping with their children's development in those areas.

*(Reviewers will evaluate the response to this criterion on the relevance and rigor of the research cited, and how well the program design clearly links the proposed strategies with the major findings of up-to-date scientifically based reading research about best practices in language, cognitive, and early reading development. These best practices may include, for example, how the Early Reading First project will create high-quality print-rich environments, use on-going intensive professional development for preschool staff, support children's learning through explicit and scaffolded instruction in phonological awareness, oral language skills, print awareness, and alphabetic knowledge, and use continuous screening assessments to monitor children's progress. Reviewers also will evaluate the response to this criteria on the clarity and feasibility of the overall program design, based upon the Pre-Application Estimated Budget and Pre-Application Budget Justification, and the proposed project activities, including the extent to which the number of preschool programs to be supported by Early Reading First is limited enough (generally, for center-based programs, to no more than five (5) centers) to achieve the project goals with the amount of funds requested.)*

**(up to 40 total points)**

- 3. Continuity and Coordination with Formal School Instruction:** Describe how you will work with the LEA that the preschool children would later attend in order to link the Early Reading First activities with the instructional program in kindergarten through third grade, including with any activities in the LEA under the Reading First State Grants Program authorized by Subpart 1 of Part B of Title I of the ESEA). This is to ensure close coordination with the State's educational goals and to promote continuity so that cognitive and literacy gains that children made in the preschool years are sustained and supported once the children begin formal classroom instruction. Indicate whether or not your State has preschool standards in the cognitive domain, and if it does, briefly describe those standards. Explain how your proposed Early Reading First project would prepare young children to meet your State's preschool content standards (if any) and your State's reading or language arts content standards for kindergarten or the lowest elementary grade for which your State has those content standards.

*(Reviewers will evaluate the response to this criteria on how well the project design would result in the language, cognitive, and early reading gains made in preschool being sustained once the children begin formal schooling, and how well the Early Reading First strategies and activities would prepare children to meet the State's preschool cognitive standards (if*

any), and the State's content standards in reading or language arts for the lowest grade for which the State has those standards.)

**(up to 10 total points)**

4. **Measuring success:** Explain how you will determine whether the children's skills in language, cognition, and early reading have improved as a result of your Early Reading First strategies and changes. Describe the key outcomes that you would expect to see in the classroom environment, instructional practice, and children's learning, and how you plan to measure the outcomes and use the results for continuous program improvement.

*(Reviewers will evaluate the response to this criterion on how well the expected outcomes are linked to the program's goals (which reviewers will be evaluating, in part, on the extent to which they incorporate high expectations), and how well the proposed measures of children's progress will demonstrate those outcomes. Reviewers also will evaluate the response to this criterion on the validity and rigor of the proposed measures, their appropriateness for the target population, and the degree to which the program will use the results to inform future instruction and program improvement.)*

**(up to 25 total points)**

**TOTAL PAGE LIMIT FOR STEP 2: 10 DOUBLE-SPACED PAGES**

**(The Pre-Application Forms, the Context (Step 1 of the Pre-Application Narrative), the Budget Justification, and the limited Appendices are not a part of this total.)**



***EARLY READING FIRST PROGRAM***  
**PRE-APPLICATION COMPETITIVE PRIORITY 1 -**  
**STATE EDUCATIONAL SYSTEM PARTNERSHIP**

Peer reviewers will assign **10 extra points** to every Early Reading First Program Pre-Application that meets the following competitive priority. To obtain points under this Pre-Application competitive priority, an applicant that otherwise qualifies under the priority must complete both Parts A and B of Pre-Application Form B and submit that completed and signed form with its Pre-Application.

The Early Reading First project will be operated by a partnership that includes at least the following entities:

a State educational agency (SEA) or a local educational agency (LEA) (or both)

and

a preschool that is not under the administrative control of an LEA.

A preschool is considered to be under the administrative control of an LEA for the purposes of this Pre-Application competitive priority if the LEA is the fiscal agent, operates, supervises, controls or manages the preschool. A preschool that is located in a school or LEA building is not necessarily under the administrative control of an LEA.

Programs that form new partnerships for Early Reading First may meet this priority, as well as programs with existing partnerships. To qualify for points under this competitive priority, at least one partner must qualify as an eligible applicant. In addition, to qualify for points under this competitive priority, all preschools that will be supported by the proposed Early Reading First project must be located in a community served by an eligible LEA, or primarily serve children who will attend kindergarten in an eligible LEA. (Eligible LEAs are listed on the Early Reading First website at <http://www.ed.gov/offices/OESE/earlyreading/index.html>).



This competitive priority is designed to: ensure that the preschool programs supported with Early Reading First funds are closely coordinated and aligned with the State's kindergarten through grade 12 (K – 12) educational system and goals; enhance collaboration and instructional continuity between those preschools and the elementary schools children will enter after preschool; and give State and local support to preschools not part of the State K - 12 public education system.



***(NOTE: The eligible applicant(s) will be required, if invited to submit a Full Application, to attach a Partnership Agreement to the Full Application that describes the specific responsibilities and roles each partner will have for the Early Reading First project.)***

***EARLY READING FIRST PROGRAM***  
**PRE-APPLICATION COMPETITIVE PRIORITY NO. 2 -**  
**CHILDREN FROM LOW-INCOME FAMILIES**

**The peer reviewers will assign from 0 to 15 extra points, based on the extent to which the applicant demonstrates that it meets the following competitive priority. To obtain points under this Pre-Application competitive priority, an applicant that qualifies must address this priority, as explained below, in its Pre-Application Narrative.**

The preschool program(s) to be supported by the proposed Early Reading First project primarily serve children from low-income families.

Points will be awarded on a scale from 0-15 based on the applicant's demonstration of the degree to which the program serves children from low-income families. Applicants must include in their Early Reading First Program Pre-Application Narrative a description of the preschool programs to be served by the proposed project, which includes demographic and socioeconomic information on the preschool age children enrolled in those programs. Applicants may use data of their choice to demonstrate that the preschool age children primarily are from low-income families. For example, an applicant may use such information such as census data, the percentage of children receiving a free or reduced price lunch, or other similar measures of poverty to demonstrate the percentage of children from low-income families. When awarding points, readers will be instructed to consider the percentage of children from low-income families relative to the different definitions of poverty used in these data sources in determining the extent to which a project primarily serves children from low-income families.



This competitive priority is designed to ensure that Early Reading First funds are used to support local efforts to enhance the early language, literacy, and prereading development particularly of preschool children who are from low-income families.





***EARLY READING FIRST PROGRAM***  
**PRE-APPLICATION COMPETITIVE PRIORITY 3 -**  
**NOVICE APPLICANT**

The peer reviewers will assign **5 extra points** to each Early Reading First Program Pre-Application that is submitted by a *novice applicant* (or a group of novice applicants) under 34 CFR 75.225 that is otherwise eligible to apply under this competition. To obtain points under this Pre-Application competitive priority, an applicant that qualifies under the priority must check “Yes” in response to Question 6 on the Application for Federal Assistance Form (ED Form 424) that it files with its Pre-Application. This form is included in this application guide. **If “Yes” is not checked in response to Question 6 on that form, the applicant will not be considered for these priority points.**

A *novice applicant*, for this initial competition in the new Early Reading First program, is defined as an applicant that has not had an active discretionary grant from the Federal Government in the five years before the deadline date for submitting the Pre-Application in this grant competition. For the purposes of this requirement, a grant is active until the end of the grant’s project or funding period, including any extensions of those periods that extend the grantee’s authority to obligate funds.

In order for a group application to qualify as a novice applicant, every eligible applicant in the group must meet the above definition of novice applicant, and one of those novice eligible entities also must be the fiscal agent for the grant. However, the *partnership* that is required to meet Pre-Application Competitive Priority 1 (State Educational System Partnership) is not the same as a *group application*, and not all partners in the partnership must be novice applicants. In the case of an application that has both a qualifying partnership and also is applying as a novice applicant, only the eligible entities in the partnership that are the eligible applicant(s) must qualify as novice(s).

A novice applicant may qualify for points under both Pre-Application Competitive Priority 1 (State Education System Partnership) and Pre-application Competitive Priority 3 (Novice Applicant), as long as the partnership includes the required entities (an SEA or an LEA, and at least one non-LEA administered preschool) and meets the other requirements for that competitive priority, AND the entity or entities serving as the eligible applicant (one of which must be the fiscal agent) is a novice applicant.



This competitive priority is included to broaden and diversify the pool of qualified applicants and provide greater opportunities for inexperienced applicants with high-quality applications to receive funding.





***EARLY READING FIRST PROGRAM  
PRE-APPLICATION FORMS***

- (1) ED Form 424, Application for Federal Assistance (CFDA # 84.359A) (required for all applicants) — attached below, and can be downloaded as a Word, Wordperfect, or PDF file from: <http://www.ed.gov/offices/OCFO/grants/appforms.html>**
- (2) Pre-Application Form A - Applicant Eligibility (required for all applicants) — attached below, and can be downloaded from this application guide, which is available at: <http://www.ed.gov/GrantApps/#84.359> or at <http://www.ed.gov/offices/OESE/earlyreading/index.html>**
- (3) Pre-Application Form B – Competitive Priority 1 (State Educational System Partnership) (if applicable) — attached below, and can be downloaded from this application guide, which is available at: <http://www.ed.gov/GrantApps/#84.359> or at <http://www.ed.gov/offices/OESE/earlyreading/index.html>**



Application for Federal  
**Education Assistance (ED 424)**



**U.S. Department of Education**

Form Approved  
OMB No. 1875-0106  
Exp. 11/30/2004

**Applicant Information** Organizational Unit

**1. Name and Address**

Legal Name: \_\_\_\_\_

Address: \_\_\_\_\_

City \_\_\_\_\_

State \_\_\_\_\_

County \_\_\_\_\_

ZIP Code + 4 \_\_\_\_\_

**2. Applicant's D-U-N-S Number** |\_|\_|\_|\_|\_|\_|\_|\_|\_|\_|\_|\_|\_|\_|\_|\_|

**6. Novice Applicant** \_\_\_ Yes \_\_\_ No

**3. Applicant's T-I-N** |\_|\_|\_| - |\_|\_|\_|\_|\_|\_|\_|\_|\_|\_|\_|\_|

**7. Is the applicant delinquent on any Federal debt?** \_\_\_ Yes \_\_\_ No  
(If "Yes," attach an explanation.)

**4. Catalog of Federal Domestic Assistance #:** **84.** 3 5 9 A

Title: \_\_\_ Early Reading First Program Pre-Application

**8. Type of Applicant (Enter appropriate letter in the box.)** |\_|\_|\_|

A - State  
B - Local  
C - Special District  
D - Indian Tribe  
E - Individual  
F - Independent School District  
G - Public College or University  
H - Private, Non-profit College or University  
I - Non-profit Organization  
J - Private, Profit-Making Organization

K - Other (Specify): \_\_\_\_\_

**5. Project Director:** \_\_\_\_\_

Address: \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ Zip code + 4 \_\_\_\_\_

Tel. #: ( ) \_\_\_\_\_ - \_\_\_\_\_ Fax #: ( ) \_\_\_\_\_ - \_\_\_\_\_

E-Mail Address: \_\_\_\_\_

**Application Information**

**9. Type of Submission:**

*-PreApplication*      *-Application*  
\_\_\_ Construction      \_\_\_ Construction  
\_\_\_ Non-Construction      \_\_\_ Non-Construction

**10. Is application subject to review by Executive Order 12372 process?**

\_\_\_ Yes (Date made available to the Executive Order 12372 process for review): \_\_\_/\_\_\_/\_\_\_

\_\_\_ No (If "No," check appropriate box below.)

\_\_\_ Program is not covered by E.O. 12372.

\_\_\_ Program has not been selected by State for review.

**12. Are any research activities involving human subjects planned at any time during the proposed project period?**  
\_\_\_ Yes (Go to 12a.) \_\_\_ No (Go to item 13.)

**12a. Are all the research activities proposed designated to be exempt from the regulations?**

\_\_\_ Yes (Provide Exemption(s) #): \_\_\_\_\_

\_\_\_ No (Provide Assurance #): \_\_\_\_\_

**13. Descriptive Title of Applicant's Project:**

**11. Proposed Project Dates:** \_\_\_/\_\_\_/\_\_\_

**Start Date:**

**End Date:**

**Estimated Funding**

**14a. Federal** \$ \_\_\_\_\_ . 00

**b. Applicant** \$ \_\_\_\_\_ . 00

**c. State** \$ \_\_\_\_\_ . 00

**d. Local** \$ \_\_\_\_\_ . 00

**e. Other** \$ \_\_\_\_\_ . 00

**f. Program Income** \$ \_\_\_\_\_ . 00

**g. TOTAL** \$ \_\_\_\_\_ . 00

**Authorized Representative Information**

**15. To the best of my knowledge and belief, all data in this preapplication/application are true**

**and correct. The document has been duly authorized by the governing body of the applicant**

**and the applicant will comply with the attached assurances if the assistance is awarded.**

**a. Authorized Representative (Please type or print name clearly.)**

**b. Title:** \_\_\_\_\_

**c. Tel. #:** ( ) \_\_\_\_\_ - \_\_\_\_\_ **Fax #:** ( ) \_\_\_\_\_ - \_\_\_\_\_

**d. E-Mail Address:** \_\_\_\_\_

**e. Signature of Authorized Representative**

\_\_\_\_\_ **Date:** \_\_\_/\_\_\_/\_\_\_



## Instructions for Form ED 424

- 1. Legal Name and Address.** Enter the legal name of applicant and the name of the primary organizational unit which will undertake the assistance activity.
  - 2. D-U-N-S Number.** Enter the applicant's D-U-N-S Number. If your organization does not have a D-U-N-S Number, you can obtain the number by calling 1-800-333-0505 or by completing a D-U-N-S Number Request Form. The form can be obtained via the Internet at the following URL: <http://www.dnb.com>.
  - 3. Tax Identification Number.** Enter the taxpayer's identification number as assigned by the Internal Revenue Service.
  - 4. Catalog of Federal Domestic Assistance (CFDA) Number.** Enter the CFDA number and title of the program under which assistance is requested. The CFDA number can be found in the federal register notice and the application package.
- Project Director.** Name, address, telephone and fax numbers, and e-mail address of the person to be contacted on matters involving this application.
- Novice Applicant.** Check "Yes" or "No" only if assistance is being requested under a program that gives special consideration to novice applicants. Otherwise, **leave blank**.
- Check "Yes" if you meet the requirements for novice applicants specified in the regulations in 34 CFR 75.225 and included on the attached page entitled "Definitions for Form ED 424." By checking "Yes" the applicant certifies that it meets these novice applicant requirements. Check "No" if you do not meet the requirements for novice applicants.
- 7. Federal Debt Delinquency.** Check "Yes" if the applicant's organization is delinquent on any Federal debt. (This question refers to the applicant's organization and not to the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.) Otherwise, check "No."
  - 8. Type of Applicant.** Enter the appropriate letter in the box provided.
  - 9. Type of Submission.** See "Definitions for Form ED 424" attached.
  - 10. Executive Order 12372.** See "Definitions for Form ED 424" attached. Check "Yes" if the application is subject to review by E.O. 12372. Also, please enter the month, day, and four (4) digit year (e.g., 12/12/2001). Otherwise, check "No."
  - 11. Proposed Project Dates.** Please enter the month, day, and four (4) digit year (e.g., 12/12/2001).
  - 12. Human Subjects Research.** (See I.A. "Definitions" in attached page entitled "Definitions for Form ED 424.")
    - If Not Human Subjects Research.** Check "No" if research activities involving human subjects are not planned at any time during the proposed project period. The remaining parts of Item 12 are then not applicable.
    - If Human Subjects Research.** Check "Yes" if research activities involving human subjects are planned at any time during the proposed project period, either at the applicant organization or at any other performance site or collaborating institution. Check "Yes" even if the research is exempt from the regulations for the protection of human subjects. (See I.B. "Exemptions" in attached page entitled "Definitions for Form ED 424.")
  - 12a. If Human Subjects Research is Exempt from the Human Subjects Regulations.** Check "Yes" if all the research activities proposed are designated to be exempt from the regulations. Insert the exemption number(s) corresponding to one or more of the six exemption categories listed in I.B. "Exemptions." In addition, follow the instructions in II.A. "Exempt Research Narrative" in the attached page entitled "Definitions for Form ED 424." Insert this narrative immediately following the ED 424 face page.

**12a. If Human Subjects Research is Not Exempt from Human Subjects Regulations.** Check “No” if some or all of the planned research activities are covered (not exempt). In addition, follow the instructions in II.B. “Nonexempt Research Narrative” in the page entitled “Definitions for Form ED 424.” Insert this narrative immediately following the ED 424 face page.

**12a. Human Subjects Assurance Number.** If the applicant has an approved Federal Wide (FWA) or Multiple Project Assurance (MPA) with the Office for Human Research Protections (OHRP), U.S. Department of Health and Human Services, that covers the specific activity, insert the number in the space provided. If the applicant does not have an approved assurance on file with OHRP, enter “None.” In this case, the applicant, by signature on the face page, is declaring that it will comply with 34 CFR 97 and proceed to obtain the human subjects assurance upon request by the designated ED official. If the application is recommended/selected for funding, the designated ED official will request that the applicant obtain the assurance within 30 days after the specific formal request.

**Note about Institutional Review Board Approval.** ED does not require certification of Institutional Review Board approval with the application. However, if an application that involves non-exempt human subjects research is recommended/selected for funding, the designated ED official will request that the applicant obtain and send the certification to ED within 30 days after the formal request.

**13. Project Title.** Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.

**14. Estimated Funding.** Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate **only** the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 14.

**15. Certification.** To be signed by the authorized representative of the applicant. A copy of the governing body’s authorization for you to sign this application as official representative must be on file in the applicant’s office. Be sure to enter the telephone and fax number and e-mail address of the authorized representative. Also, in item 15e, please enter the month, day, and four (4) digit year (e.g., 12/12/2001) in the date signed field.

**Paperwork Burden Statement.** According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1875-0106. The time required to complete this information collection is estimated to average between 15 and 45 minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, D.C. 20202-4651. If you have comments or concerns regarding the status of your individual submission of this form write directly to: Joyce I. Mays, Application Control Center, U.S. Department of Education, 7th and D Streets, S.W. ROB-3, Room 3633, Washington, D.C. 20202-4725



### **Definitions for Form ED 424**

**Novice Applicant (See 34 CFR 75.225).** For discretionary grant programs under which the Secretary gives special consideration to novice applications, a novice applicant means any applicant for a grant from ED that—

- Has never received a grant or subgrant under the program from which it seeks funding;
- Has never been a member of a group application, submitted in accordance with 34 CFR 75.127-75.129, that received a grant under the program from which it seeks funding; and
- Has not had an active discretionary grant from the Federal government in the five years before the deadline date for applications under the program. For the purposes of this requirement, a grant is active until the end of the grant's project or funding period, including any extensions of those periods that extend the grantee's authority to obligate funds.

In the case of a group application submitted in accordance with 34 CFR 75.127-75.129, a group includes only parties that meet the requirements listed above.

**Type of Submission.** "Construction" includes construction of new buildings and acquisition, expansion, remodeling, and alteration of existing buildings, and initial equipment of any such buildings, or any combination of such activities (including architects' fees and the cost of acquisition of land). "Construction" also includes remodeling to meet standards, remodeling designed to conserve energy, renovation or remodeling to accommodate new technologies, and the purchase of existing historic buildings for conversion to public libraries. For the purposes of this paragraph, the term "equipment" includes machinery, utilities, and built-in equipment and any necessary enclosures or structures to house them; and such term includes all other items necessary for the functioning of a particular facility as a facility for the provision of library services.

**Executive Order 12372.** The purpose of Executive Order 12372 is to foster an intergovernmental partnership and strengthen federalism by relying on State and local processes for the coordination and review of proposed Federal financial assistance and direct Federal development. The application notice, as published in the Federal Register, informs the applicant as to whether the program is subject to the requirements of E.O. 12372. In addition, the application package contains information on the State Single Point of Contact. An applicant is still eligible to apply for a grant or grants even if its respective State, Territory, Commonwealth, etc. does not have a State Single Point of Contact. For additional information on E.O. 12372 go to <http://www.cfda.gov/public/eo12372.htm>.

# PROTECTION OF HUMAN SUBJECTS IN RESEARCH

## I. Definitions and Exemptions

### A. Definitions.

**A research activity involves human subjects if the activity is research, as defined in the Department's regulations, and the research activity will involve use of human subjects, as defined in the regulations.**

#### —Research

The ED Regulations for the Protection of Human Subjects, Title 34, Code of Federal Regulations, Part 97, define research as “a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge.” *If an activity follows a deliberate plan whose purpose is to develop or contribute to generalizable knowledge it is research.* Activities which meet this definition constitute research whether or not they are conducted or supported under a program which is considered research for other purposes. For example, some demonstration and service programs may include research activities.

#### —Human Subject

The regulations define human subject as “a living individual about whom an investigator (whether professional or student) conducting research obtains (1) data through intervention or interaction with the individual, or (2) identifiable private information.” *(1) If an activity involves obtaining information about a living person by manipulating that person or that person's environment, as might occur when a new instructional technique is tested, or by communicating or interacting with the individual, as occurs with surveys and interviews, the definition of human subject is met. (2) If an activity involves obtaining private information about a living person in such a way that the information can be linked to that individual (the identity of the subject is or may be readily determined by the investigator or associated with the information), the definition of human subject is met.* [Private information includes information about behavior that occurs in a context in which an individual can reasonably expect that no observation or recording is taking place, and information which has been provided for specific purposes by an individual and which the individual can reasonably expect will not be made public (for example, a school health record).]

### B. Exemptions.

Research activities in which the **only** involvement of human subjects will be in one or more of the following six categories of **exemptions** are not covered by the regulations:

(1) Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as (a) research on regular and special education instructional strategies, or (b) research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods.

(2) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless: (a)

information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and (b) any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, or reputation. ***If the subjects are children, exemption 2 applies only to research involving educational tests and observations of public behavior when the investigator(s) do not participate in the activities being observed. Exemption 2 does not apply if children are surveyed or interviewed or if the research involves observation of public behavior and the investigator(s) participate in the activities being observed.*** [Children are defined as persons who have not attained the legal age for consent to treatments or procedures involved in the research, under the applicable law or jurisdiction in which the research will be conducted.]

(3) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior that is not exempt under section (2) above, if the human subjects are elected or appointed public officials or candidates for public office; or federal statute(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.

(4) Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the information is recorded by the investigator in a manner that subjects cannot be identified, directly or through identifiers linked to the subjects.

(5) Research and demonstration projects which are conducted by or subject to the approval of department or agency heads, and which are designed to study, evaluate, or otherwise examine: (a) public benefit or service programs; (b) procedures for obtaining benefits or services under those programs; (c) possible changes in or alternatives to those programs or procedures; or (d) possible changes in methods or levels of payment for benefits or services under those programs.

(6) Taste and food quality evaluation and consumer acceptance studies, (a) if wholesome foods without additives are consumed or (b) if a food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe, by the Food and Drug Administration or approved by the Environmental Protection Agency or the Food Safety and Inspection Service of the U.S. Department of Agriculture.

## **II. Instructions for Exempt and Nonexempt Human Subjects Research Narratives**

If the applicant marked "Yes" for Item 12 on the ED 424, the applicant must provide a human subjects "exempt research" or "nonexempt research" narrative and insert it immediately following the ED 424 face page.

### **A. Exempt Research Narrative.**

If you marked "Yes" for item 12 a. and designated exemption numbers(s), provide the "exempt research" narrative. The narrative must contain sufficient information about the involvement of human subjects in the proposed research to allow a determination by ED that the designated exemption(s) are appropriate. The narrative must be succinct.

## B. Nonexempt Research Narrative.

If you marked “No” for item 12 a. you must provide the “nonexempt research” narrative. The narrative must address the following seven points. Although no specific page limitation applies to this section of the application, be succinct.

(1) **Human Subjects Involvement and Characteristics:** Provide a detailed description of the proposed involvement of human subjects. Describe the characteristics of the subject population, including their anticipated number, age range, and health status. Identify the criteria for inclusion or exclusion of any subpopulation. Explain the rationale for the involvement of special classes of subjects, such as children, children with disabilities, adults with disabilities, persons with mental disabilities, pregnant women, prisoners, institutionalized individuals, or others who are likely to be vulnerable

(2) **Sources of Materials:** Identify the sources of research material obtained from individually identifiable living human subjects in the form of specimens, records, or data. Indicate whether the material or data will be obtained specifically for research purposes or whether use will be made of existing specimens, records, or data.

(3) **Recruitment and Informed Consent:** Describe plans for the recruitment of subjects and the consent procedures to be followed. Include the circumstances under which consent will be sought and obtained, who will seek it, the nature of the information to be provided to prospective subjects, and the method of documenting consent. State if the Institutional Review Board (IRB) has authorized a modification or waiver of the elements of consent or the requirement for documentation of consent.

(4) **Potential Risks:** Describe potential risks (physical, psychological, social, legal, or other) and assess their likelihood and seriousness. Where appropriate, describe alternative treatments and procedures that might be advantageous to the subjects.

(5) **Protection Against Risk:** Describe the procedures for protecting against or minimizing potential risks, including risks to confidentiality, and assess their likely effectiveness. Where appropriate, discuss provisions for ensuring necessary medical or professional intervention in the event of adverse effects to the subjects. Also, where appropriate, describe the provisions for monitoring the data collected to ensure the safety of the subjects.

(6) **Importance of the Knowledge to be Gained:** Discuss the importance of the knowledge gained or to be gained as a result of the proposed research. Discuss why the risks to subjects are reasonable in relation to the anticipated benefits to subjects and in relation to the importance of the knowledge that may reasonably be expected to result.

(7) **Collaborating Site(s):** If research involving human subjects will take place at collaborating site(s) or other performance site(s), name the sites and briefly describe their involvement or role in the research.

*Copies of the Department of Education’s Regulations for the Protection of Human Subjects, 34 CFR Part 97 and other pertinent materials on the protection of human subjects in research are available from the Grants Policy and Oversight Staff, Office of the Chief Financial Officer, U.S. Department of Education, Washington, D.C. 20202-4248, telephone: (202) 708-8263, and on the U.S. Department of Education’s Protection of Human Subjects in Research Web Site at <http://www.ed.gov/offices/OCFO/humansub.html>*

**EARLY READING FIRST PROGRAM**  
**PRE-APPLICATION FORM A**

**APPLICANT ELIGIBILITY**

**Each application must be submitted by one or more entities that qualify as eligible applicants, and must include this completed form.** The eligible applicants may have other partners, as described in the Pre-Application Competitive Priority 1; *however, the fiscal agent must be one of the eligible applicants listed on this page.* Eligible applicants are the following:

- A local educational agency (LEA) that is eligible under Reading First criteria, as designated for the purposes of the FY 2002 Early Reading First grant competition on the list of eligible LEAs on the Department's Early Reading First website at <http://www.ed.gov/offices/OESE/earlyreading/index.html>.
- A public or private organization or agency located in a community served by one of the eligible LEAs on the list described above. Unless the public or private organization is a preschool program applying on its own behalf, it must apply on behalf of one or more programs that serve preschool age children (such as a Head Start program, a child care program, a family literacy program such as Even Start, or a lab school at a university).
- One or more of the eligible LEAs, applying in collaboration with one or more of the eligible organizations or agencies.

**Instructions:** Complete the form below by filling in the name and address of the eligible applicant(s) in the left column. If the applicant is an eligible LEA, place a check in the middle column. **(Please refer to the Early Reading First web site at <http://www.ed.gov/offices/OESE/earlyreading/index.html> for a list of eligible LEAs.)** If an applicant is an eligible public or private organization (including a preschool), place a check in the far right column, and in the middle column fill in the name of the eligible LEA that serves the community in which the public or private organization is located.

<b>PR/AWARD NO.:</b> _____		
<b>GRANT APPLICANT(S)</b>		
<b>NAME AND ADDRESS OF ELIGIBLE APPLICANT(S)</b>	<b>ELIGIBLE LEA</b> (FILL IN WITH THE NAME OF THE ELIGIBLE LEA, AND ITS CCDID NUMBER (IF ANY), FROM THE LIST ON THE EARLY READING FIRST WEBSITE)	<b>ELIGIBLE PUBLIC OR PRIVATE ORGANIZATION</b> (CHECK IF APPLICABLE, AND ALSO FILL IN COLUMN 2 WITH THE NAME OF THE ELIGIBLE LEA IN WHICH THE PUBLIC OR PRIVATE ORGANIZATION IS LOCATED)



**EARLY READING FIRST PROGRAM**  
**PRE-APPLICATION FORM B**

COMPETITIVE PRIORITY 1  
(STATE EDUCATIONAL SYSTEM PARTNERSHIP)

**To qualify for points under Pre-Application Competitive Priority 1, an Early Reading First project must meet the requirements set forth in Pre-Application Competitive Priority 1, and complete both Parts A and B of this form.**



**Part A: Assurances and Certifications**

As the duly authorized representative of the applicant, I hereby assure and certify that:

- (a) The proposed Early Reading First project will be operated by a partnership that includes at least the following entities that are indicated in the “Partnership Entity” Table on Part B of this form: (1) a State educational agency (SEA) or a local educational agency (LEA) (or both) (Box 1); **and** (2) a preschool that is not under the administrative control of an LEA (Box 2).

(NOTE: A preschool is considered to be under the administrative control of an LEA for the purposes of this Pre-Application competitive priority if the LEA is the fiscal agent, operates, supervises, controls, or manages the preschool. A preschool that is located in a school or LEA building is not necessarily under the administrative control of an LEA. The applicant must list any additional partners in Box 3.)

- (b) At least one of the partners listed on the “Partnership Entity” Table on Part B of this form is one of the eligible applicants also listed on Pre-Application Form A (Applicant Eligibility).
- (c) One of the eligible applicants listed on Pre-Application Form A (Applicant Eligibility) will be the fiscal agent for the project.
- (d) All preschools that will be supported by the Early Reading First project are located in communities served by eligible LEAs, or primarily serve children who will attend kindergarten in eligible LEAs. (NOTE: Eligible LEAs are listed on the Early Reading First website at <http://www.ed.gov/offices/OESE/earlyreading/index.html>.)

Name of Applicant:	PR/Award No.:
Printed Name and Title of Authorized Representative:	
Signature:	Date:

**APPLICANTS MUST ALSO COMPLETE PART B**  
**CONTINUED ON REVERSE**

INSTRUCTIONS: You **must** complete *both* Boxes 1 and 2 on the table below. If the partnership that will be operating the Early Reading First project includes additional partners, you must also complete Box 3 with the names and addresses of those partners. At least **one** of entities listed on this Part B table must be the eligible applicant (or one of the eligible applicants) also listed on Pre-Application Form A (Applicant Eligibility).

<b>(1) <u>SEA or LEA:</u></b>	
Name:	
Address:	
Contact Person:	Telephone No.:
<b>(2) <u>Preschool that is not under the administrative control of an LEA:</u></b>	
Name:	
Address:	
Contact Person:	Telephone No.:
<b>(3) Other partners (if applicable):</b>	
<u>Name</u>	<u>Address</u>



**EARLY READING FIRST  
PRE-APPLICATION FINAL CHECKLIST**

**The Pre-application (in this order):**

**Part I: Preliminary Documents (required for all applicants except as indicated below)**

- ☐ ED Form 424, Application for Federal Assistance, CFDA No. 84.359A (Face Sheet) (see “Forms” section)
- ☐ Pre-Application Form A (Applicant Eligibility) (in “Forms” section)
- ☐ Pre-Application Form B (Competitive Priority 1 – State Educational System Partnership (if applicable) (in “Forms” section) – **Parts A and B**
- ☐ List of contact persons, postal mail and email addresses, telephone and fax numbers, for applicant(s)
- ☐ Title Page
- ☐ Table of Contents
- ☐ Abstract briefly describing proposed administered project (1 page only, double-spaced, not numbered)

**Part II: Pre-Application Narrative (required for all applicants)**

- ☐ Context of the preschool program(s) (the equivalent of no more than 2 pages, double-spaced, 12 point font)
- ☐ Narrative addressing Pre-Application selection criteria and Competitive Priority 2 (Children from Low-Income Families) (the equivalent of no more than 10 pages, double-spaced, 12 point font)

**Part III: Budget Information (required for all applicants)**

- ☐ Pre-Application Estimated Budget
- ☐ Budget Justification (general explanation of estimated costs in narrative form — the equivalent of no more than 3 pages, double-spaced, 12 point font)

**The Appendices (may be smaller than 12-point font)**

- ☐ List of names and addresses of existing preschool program(s) that the proposed Early Reading First project would support (generally limited to approximately five (5) centers, for center-based programs.
- ☐ Organizational chart (1 page)

**Please check to make sure that you have done the following:**

- ☐ The Application for Federal Assistance ED Form 424 (CFDA No. 84.359A) has been signed and dated by an authorized official and you have included the signed original with your submission.
- ☐ The budget amount on ED Form 424 (Application for Federal Assistance face sheet), items 13 (-g), are for Year 1 only.
- ☐ You have included the signed original, and at least two copies of your complete Pre-Application. (Although not required, it will help expedite the Pre-Application review process if you include two additional copies of your complete Pre-Application.)



**Section E:**  
***EARLY READING FIRST***  
***FULL APPLICATION – PHASE 2***  
***CFDA No. 84.359B***

**The Full Application Process**

**Full Application Deadline**

**Full Application Procedures and Instructions**

**Full Application Selection Criteria**

**Full Application Competitive Priority**

**Full Application Budget Information**

**Full Application Final Checklist**

**Full Application Forms and Notice:**

ED Form 424 (Application For Federal Assistance – CFDA # 84.359B)

ED Form 524 (Budget Information Form – CFDA # 84.359B)

Assurances – Non-Construction Programs (Standard Form 424B)

Certification Regarding Lobbying; Debarment, Supervision and other  
Responsibility Matters; and Drug free Workplace Requirements  
(ED Form 80-0013)

Certification Regarding Debarment, Suspension, Ineligibility and  
Voluntary Exclusion – Lower Tier Covered Transactions (ED  
Form 80-0014)

Disclosure of Lobbying Activities (SF LLL) (submit if applicable)

Notice to All Applicants (Section 427, GEPA)

**Other Important Information:**

Executive Order 12372 (Intergovernmental Review of Federal Programs)

Single State Point of Contact List

Important Notice to Prospective Participants in U.S. Department of  
Education Contract and Grant Programs



## **THE FULL APPLICATION PROCESS – Phase 2**

The Department will consider for invitations to submit Full Applications only those applicants whose applications were rated highly in the Pre-Application process and recommended as having the potential to become successful Early Reading First projects. The Department expects to notify pre-applicants of their status by August 30, 2002.

To help strengthen Full Applications and ensure that funded projects are of the highest possible quality, the Department will provide applicants invited to submit Full Applications with the comments of their Pre-Application peer reviewers. (The Department also will make available to applicants not invited to submit Full Applications the peer review comments on their Pre-Applications.)

In this second phase of the Early Reading First application process, peer reviewers will evaluate Full Applications on the selection criteria and competitive priority that follow. The Secretary will consider for funding only those high-quality applications that the peer review panel recommends as demonstrating the greatest potential for creating improvements in early childhood education programs and for becoming successful projects that are centers of excellence for early learning. The Department may use on-site reviews for some or all applicants in making award determinations under section 75.217 of the Education Department General Administrative Regulations (EDGAR). In addition, when making awards, the Department may take into consideration other information that is relevant to obtaining a variety of types of funded projects and an equitable distribution of awards throughout the nation, such as geographical representation, location in high-need urban and rural areas, project size, and type of program.

### **FULL APPLICATION DEADLINE**

The deadline for **receipt of Early Reading First Full Applications is October 11, 2002**. ***Please note that this is a receipt deadline.*** All Full Applications must be received by the Department's Application Control Center on or before this deadline date (by 4:30 p.m. Eastern Standard Time, if hand-delivered). The Department will strictly observe this closing date and the following procedures for guaranteeing timely receipt of Full Applications. Any application received after this deadline will not be read.

### **FULL APPLICATION PROCEDURES AND INSTRUCTIONS**

Applicants must submit one signed original and at least two copies of their Full Application, including an Application Narrative that is the equivalent of no more than 35 double-spaced pages, a Budget, and a Budget Narrative that is no more than 5 pages, and the other limited materials indicated in the Full Application Final Checklist. Although not required, it will help expedite the Full Application review process if applicants include two additional copies of their Full Applications.

### **Full Application Narrative**

Peer reviewers (reviewers) will rate each Full Application on its response to the Full Application selection criteria listed below, based on how well the applicant responds to those selection criteria. The maximum number of points that an application may receive for the selection criteria is 100. The applicant should prepare the Full Application narrative to respond to the selection criteria in the order in which they are listed. Place the name of the applicant and the page number at the top of each page of the Full Application Narrative. Number each page consecutively with the first page of the narrative listed as page 1.

### **Competitive Priority**

In addition, peer reviewers will give 5 points to applicants that meet the Competitive Priority for Novice Applicants. To obtain points under this Full Application competitive priority, an applicant that qualifies under the priority must check “Yes” in response to Question 6 on the Application for Federal Assistance Form (ED Form 424) that it files with its Full Application. This form is included in this application guide.

### **Budget and Budget Narrative – Full Application**

For the Full Application Budget, applicants must use ED Form 524, which is attached and also available on the Department’s website. This Budget must be accompanied by a Budget Narrative that is no more than five double-spaced pages. Place the name of the applicant and the page number at the top of each page of the Budget Narrative.

### **Partnership Agreement (if applicable)**

For the Pre-Application, the applicant may have submitted a “Pre-Application Form B – State Educational System Partnership” that contained information about the partnership that was necessary to qualify for the Pre-Application Competitive Priority 1. If the applicant qualified under Pre-Application Competitive Priority No. 1 (State Educational System Partnership) in its Pre-Application, the applicant must submit with its Full Application a Partnership Agreement that describes the specific responsibilities and roles that each partner will have for the Early Reading First project (see the Appendices under Full Application Final Checklist). In addition, if any revisions to the information on that form are necessary, the applicant should submit a copy of the revised form with its Full Application.

### **Page and Formatting Standards**

For the Full Application Narrative and Full Application Budget Narrative, the following standards apply:

- A page is 8.5” x 11”, on one side only, with 1” margins at the top, bottom, and both sides.

- Double space (no more than three lines per vertical inch) all text in the application narrative, including titles, headings, quotations, references, and captions.
- Use a font that is either 12-point or larger or no smaller than 10 pitch (characters per inch).
- You may use other point fonts for any tables, charts or graphs. However, those tables, charts or graphs are included in the over-all narrative page limits.

**NOTE: Do not include any enclosures or appendices other than those listed on the “Full Application Final Checklist.” The Department will instruct peer reviewers to base their evaluations and scoring only on the information contained in up to 35 pages of the Full Application Narrative, up to 5 pages of the Full Application Budget Narrative, and the other limited materials listed in the Full Application Final Checklist (including any Partnership Agreement). Any non-print materials, such as videotapes or CDs, will not be considered.**

Reviewers will not evaluate any of the specified sections of your application that exceed the page limit if you apply the above standards or that exceed the equivalent of the page limit if you apply other standards.

Please submit the signed original Pre-Application in a format that will ensure that the application stays intact (such as staples or binder clips), and that no pages are lost during our handling and review processes (for example, do not use rubber bands or paper clips). Please do not submit your application bound or in a three-ring binder.

### **Appendices and Other Material**

Your Full Application may not include enclosures other than those listed on the *Early Reading First Program Full Application Final Checklist*.

### **Instructions for Transmitting Applications**

Applicants must deliver or mail their Full Applications so that the Department’s Application Control Center **receives** the Full Application by the deadline date of **October 11, 2002** (by 4:30 p.m., Eastern Standard Time, if hand-delivered, including delivery by courier), at:

U.S. Department of Education  
Application Control Center — Room 3671  
Early Reading First Program Grants (Full Application)  
Attention: CFDA No. 84.359B  
400 Maryland Avenue, S.W.  
Washington, DC 20202-4725  
Telephone: (202) 708-9493

Full Applications received after this deadline will not be read.

**SPECIAL NOTE:** Due to recent disruptions to normal mail delivery, the Department encourages you to consider using an alternative delivery method (for example, a commercial carrier, such as Federal Express or United Parcel Service; U.S. Postal Service Express mail; or a courier service) to transmit your application to the Department. If you use an alternative delivery method, please follow the instructions for “Full Applications Delivered by Hand.”

**Full Applications Delivered by Hand**

Hand-delivered Full Applications must be delivered to and received by the Department’s Application Control Center by 4:30 p.m. Eastern Standard Time on or before the deadline date of October 11, 2002, at the:

U.S. Department of Education  
Application Control Center — Room 3671  
Early Reading First Program Grants (Full Application)  
Attention: CFDA No. 84.359B  
General Services Administration National Capital Region  
7th and D Streets, SW  
Washington, DC 20202-4725.

The Application Control Center will accept deliveries between 8:00 a.m., and 4:30 p.m. (Washington, DC time) daily, except Saturdays, Sundays, and Federal holidays. Individuals delivering applications must use the D Street Entrance. Proper identification is necessary to enter the building. Hand-delivered Full Applications received after 4:30 p.m. Eastern Standard Time on the deadline date will not be read.

**Grant Application Receipt Acknowledgment**

If you send your application by mail or if you or your courier deliver it by hand, the Application Control Center will mail a Grant Application Receipt Acknowledgement to you. If you fail to receive the notification of application receipt within fifteen (15) days from the closing date call:

U.S. Department of Education  
Application Control Center  
(202) 708-9493

(If your application is late, we will notify you that we will not consider the application.)



## **EARLY READING FIRST PROGRAM FULL APPLICATION SELECTION CRITERIA**

Each of the selection criteria listed below is critical to the design and implementation of high-quality Early Reading First projects. Reviewers will assign each Full Application up to 105 points using the following selection criteria and competitive priority. When making awards, the Secretary may take into consideration other information that is relevant to obtaining a variety of types of funded projects and an equitable distribution of awards throughout the nation, such as geographical representation, location in high-need urban and rural areas, project size, and type of program.

Peer reviewers will evaluate and rate each Full Application on its response to the following Full Application selection criteria. The maximum number of points that an application may receive under the selection criteria (without the competitive priority) is 100. In addition, when making awards, the Secretary will consider for awards only those high-quality applications that the peer review panel recommends as demonstrating the greatest potential for creating improvements in early childhood education programs and for becoming successful projects that are centers of excellence for early learning.

### *Maximum Points*

- |  |                                 |
|--|---------------------------------|
| <b><i>1. Significance of Project</i></b>                     | <b><i>(15 total points)</i></b> |
| <b><i>2. Quality of Project Activities (or Services)</i></b> | <b><i>(35 total points)</i></b> |
| <b><i>3. Quality of Project Personnel</i></b>                | <b><i>(10 total points)</i></b> |
| <b><i>4. Quality of Management Plan</i></b>                  | <b><i>(20 total points)</i></b> |
| <b><i>5. Quality of the Project Evaluation</i></b>           | <b><i>(20 total points)</i></b> |



- |   |                                |
|---|--------------------------------|
| <b><i>6. Competitive Preference - Novice Applicant(s)</i></b> | <b><i>(5 total points)</i></b> |
|---|--------------------------------|

***Reminder to Applicants:*** In evaluating the Full Application, peer reviewers will take into consideration the responsiveness of the applicant to the comments of peer reviewers in the applicant's Pre-Application, including the extent to which the applicant refines its initial vision and the broad plan described in that Pre-Application, based upon the comments of the Pre-Application reviewers and other new information the applicant may have obtained. The applicant should prepare the Full Application Narrative to respond to the Full Application selection criteria in the order in which they are listed. To avoid redundancy, information that the applicant provides in one section of the Full Application can be cross-referenced in another section. Reviewers will base their evaluation of the Full Application on the Full Application Narrative, the Budget and Budget Narrative, and other limited materials listed in the Full Application Final Checklist.

## **DETAILED FULL APPLICATION SELECTION CRITERIA**

### ***1. Significance of Project***

***(up to 15 total points)***

- a. Reviewers will evaluate the likelihood that the applicant's vision (as described in the Pre-Application and refined as appropriate for the Full Application) will result in a project that is a center of educational excellence for at-risk preschool age children, as demonstrated by the learning environment, instruction, and student achievement.
- b. Reviewers will evaluate the extent to which the field of early childhood education can benefit from the project through products such as information, materials, and techniques, and the potential for these resources being used effectively in other settings.

### ***2. Quality of Project Activities and Services***

***(up to 35 total points)***

Reviewers will evaluate the extent to which the applicant presents a detailed plan (with research citations where appropriate) that describes how the applicant will provide activities and services that support the development of language, cognitive, and early reading skills for preschool-age children that reflect up-to-date knowledge from scientifically based reading research:

- a. Providing a rich oral language and print-rich environment.
- b. Preparing and providing ongoing assistance to staff, through professional development and other support.
- c. Providing services and using instructional materials and activities, and integrating those instructional materials and activities into the applicant's preschool programs and family literacy services.
- d. Using screening reading assessments or other appropriate measures to determine the skills children are learning and identify children who might be at risk of reading failure.

- e. Helping children, especially those experiencing difficulty with language and early reading skills, to make the transition from preschool to formal classroom instruction.
- f. Involving parents meaningfully in their children's early education.

The reviewers also will evaluate the extent to which the planned activities and services in each of these areas will help staff in the programs to meet more effectively the diverse needs of preschool age children, including those with limited English proficiency, disabilities, or other special needs.

### **3. *Quality of Project Personnel* (up to 10 total points)**

Reviewers will evaluate the strength of the qualifications, including relevant training and experience of —

- the project staff; and
- the personnel with whom the project will contract to assist in project activities, including research-based professional development for staff to support children's development of language, cognitive, and early reading skills.

(NOTE: The applicant may provide the curriculum vitae of up to 5 key personnel, including key project staff and consultants, in the Appendix.)

### **4. *Quality of Management Plan* (up to 20 total points)**

Reviewers will evaluate the feasibility of the proposed project, and the likelihood that the project will be able to achieve its expected goals (as described in the applicant's Pre-Application and refined as appropriate for the Full Application), taking into consideration the strength of any partnership, using the following factors:

- a. The adequacy of the management plan to achieve the goals of the proposed project on time and within budget, including: clearly defined goals, activities, responsibilities, and timeline for accomplishing project tasks.  
(up to 10 points)
- b. The extent to which the time commitments of the project director and principal investigator and other key project personnel, including any partnership commitments, are appropriate and adequate to meet the objectives of the proposed project.  
(up to 5 points)
- c. The extent to which the proposed costs are adequate in relation to the proposed activities, the number of persons to be served, and the anticipated results and benefits.  
(up to 5 points)

**5. *Quality of the Project Evaluation***

***(up to 20 total points)***

Reviewers will evaluate the extent to which the methods of evaluation include the use of objective, valid and reliable performance measures that are clearly related to the intended outcomes of the project and will produce quantitative and qualitative data in the following areas:

- a. Improvement in classroom environment. *(up to 5 points)*
- b. Improvement in teacher knowledge and qualifications. *(up to 5 points)*
- c. Improvement in teacher instruction and planning. *(up to 5 points)*
- d. Improvement in outcomes for children's language, cognitive, and early reading skills. *(up to 5 points)*

***EARLY READING FIRST PROGRAM***  
**FULL APPLICATION COMPETITIVE PRIORITY -**  
**NOVICE APPLICANT**

The peer reviewers will assign 5 extra points to each Early Reading First Program Full Application that is submitted by a *novice applicant* (or a group of novice applicants) under 34 CFR 75.225 that is otherwise eligible to apply under this competition. To obtain points under this Full Application competitive priority, an applicant that qualifies under the priority must check “Yes” in response to Question 6 on the Application for Federal Assistance Form (ED Form 424) that it files with its Full Application. This form is included in this application guide. If “Yes” is not checked in response to Question 6 on that form, the applicant will not be considered for these priority points.

A *novice applicant*, for this initial competition in the new Early Reading First program, is defined as an applicant that has not had an active discretionary grant from the Federal Government in the five years before the deadline date for submitting the Full Application in this grant competition. For the purposes of this requirement, a grant is active until the end of the grant’s project or funding period, including any extensions of those periods that extend the grantee’s authority to obligate funds.

In order for a group application to qualify as a novice applicant, every eligible applicant in the group must meet the above definition of novice applicant, and one of those novice eligible entities also must be the fiscal agent for the grant. However, the *partnership* that was required to meet Pre-Application Competitive Priority 1 (State Educational System Partnership) is not the same as a *group application*, and not all partners in the partnership must be novice applicants. In the case of an application that has both a qualifying partnership and also is applying as a novice applicant, only the eligible entities in the partnership that are the eligible applicant(s) must qualify as novice(s).



This competitive priority is included to broaden and diversify the pool of qualified applicants and provide greater opportunities for inexperienced applicants with high-quality applications to receive funding.





**BUDGET INFORMATION:  
HOW TO COMPLETE THE BUDGET PORTION OF THE FULL  
APPLICATION**

In order to be considered for Federal funding each applicant must provide the following with its Full Application:

- ED Form 524 Section A
- A descriptive Budget Narrative that explains the requested Federal amounts for individual cost categories, for Project Years 1, 2, and 3.

**ED FORM 524**

ED Form 524 Section A is used to apply to individual U.S. Department of Education discretionary grant programs. All applicants must complete Section A.

**INSTRUCTIONS TO COMPLETE ED FORM 524, SECTION A**

**Name:** Enter the Name of the applicant organization(s) or institution(s) in the blank space provided.

**Personnel (line 1):** Enter project personnel salaries and wages only. Include fees and expenses for consultants on line 6.

**Fringe Benefits (line 2):** The institution's normal fringe benefit contribution may be charged to the program. Leave this line blank if fringe benefits applicable to direct salaries and wages are treated as part of the indirect cost.

**Travel (line 3):** Indicate the travel costs of employees and participants only. Include travel of such persons as consultants and trainees on line 6.

**Equipment (line 4):** Indicate the cost of non-expendable personal property that has a usefulness of greater than one year, and acquisition cost that is the lesser of the capitalization level established by the applicant entity for financial statement purposes, or \$5,000 per article. Lower limits may be established to maintain consistency with the applicant's policy.

**Supplies (line 5):** Show all tangible personal property except that included on line 4.

**Contractual (line 6):** Include consultant travel costs and fees.

**Construction (line 7):** Not applicable.

**Other (line 8):** Indicate all direct costs not covered on lines 1-6. Examples are equipment rental, required fees, communication costs, or printing costs.

**Total Direct Costs (line 9):** The sum of lines 1-8.

**Indirect Costs (line 10):** Indicate the applicant's approved, unrestricted, indirect cost rate, per sections 75.560 – 75.580 of EDGAR. If an applicant does not have an approved indirect cost rate agreement with a cognizant Federal agency, the applicant must apply to

the Department for a temporary indirect cost rate if it wishes to charge indirect costs to the grant. For more information, go to the Department's website at: [www.ed.gov/offices/OCFO/FIPAO/icgindex.html](http://www.ed.gov/offices/OCFO/FIPAO/icgindex.html), or call the Indirect Cost group at (202) 708-8787.

**Training Stipends (line 11):** Indicate the level of awards given to participants either in the forms of stipends (non-repayable) or in the form of scholarships (repayable).

**Total Cost (line 12):** This should equal the sum of lines 9-11 (total direct costs + indirect + stipends). The sum for column one, labeled *Project Year 1 (a)*, should also be equal to item 13a on the application face sheet (ED Form 424)

## **DETAILED BUDGET NARRATIVE**

Each Full Application must provide a Budget Narrative for requested Federal funds. You must limit your Budget Narrative to the equivalent of no more than **5 double-spaced pages**, using a font that is either 12-point or larger or no smaller than 10 pitch (characters per inch).

The Budget Narrative for requested Federal funds should provide a justification of how money requested per budget category is intended to be spent. This Budget Narrative provides an opportunity for the applicant to identify the nature and amount of the proposed expenditures. There should be enough detail to enable reviewers and project staff to understand what funds will be used for, how much will be expended, and the relationship between expended funds and project activities and outcomes. Applicants' narratives should contain the following information:

### **Personnel**

- Provide the title of each position.
- Provide the salary for each position.
- Provide the amount of time each person will devote to the project.
- Explain the importance of each position to the success of the project.

### **Fringe Benefits**

- Give the fringe benefit percentages of all personnel in the project.

### **Travel**

- Explain the purpose of the travel and how it relates to project success, and which staff will participate.

### **Equipment**

- Identify each type of equipment.
- Provide the cost per equipment item.
- Explain the purpose of the equipment, and how it relates to project success.

### **Supplies**

- Identify the type of supplies by general category (e.g. instructional materials, office supplies, etc.)
- Provide the purpose for purchasing the supplies.



**Contractual**

- Provide the purpose and relation to project success.
- Identify the name(s) of the contracting party, including consultants, if available.
- Provide the cost per contractor.
- Provide the amount of time that the project will be working with the contractor(s).

**Construction**

No costs allowed.

**Other Direct Costs**

- Identify each type of cost in the *Other* category (e.g., communications, printing, postage, equipment rental).
- Provide the cost per item (printing = \$500, postage = \$750).
- Provide the purpose for the expenditures and relation to project success.

**Total Direct Costs**

The amount that is the sum of expenditures, per budget category, of lines 1-8.

**Indirect Costs**

See previous reference to Indirect Costs.

**Training Stipends (Scholarships)**

- Identify who will benefit from a scholarship/stipend.
- Provide the purpose of the scholarship/stipend award.
- Identify the cost per scholarship/stipend.
- Explain the importance of the scholarship/stipend to the success of the project.



*EARLY READING FIRST PROGRAM*  
***FULL APPLICATION FINAL CHECKLIST***

**The Full Application (in this order):**

**Part I: Preliminary Documents (required for all applicants, except as indicated below)**

- ☐ ED 424 Form, Application for Federal Assistance, CFDA No. 84.359B (Face Sheet) (in Forms section of this guide)
- ☐ Title Page
- ☐ Table of Contents
- ☐ Abstract briefly describing proposed project (1 page only, double-spaced, not numbered)

**Part II: Full Application Narrative (required for all applicants)**

- ☐ Full Application Narrative: the equivalent of no more than 35 pages, double-spaced, 12 point font, addressing the Full Application selection criteria.

**Part III: Budget Information (required for all applicants)**

- ☐ ED 524 Form, Budget Information – Non Construction Programs, Part A only, for Project Years 1, 2, and 3.
- ☐ Budget Narrative (Explanation of proposed costs in narrative form – this is in addition to the above estimated budget – the equivalent of no more than 5 pages, double-spaced, 12 point font)

**The Appendices**

- ☐ Curriculum vitae of key personnel – no more than 5 people (including key contract personnel and consultants)
- ☐ Partnership Agreement (**required** if applicant qualified under Pre-Application Competitive Priority 1 (State Educational System Partnership))

**Assurance and Certifications (required for all applicants, except as indicated below or on the form)**

- ☐ SF 424B Form - Assurance - Non-Construction Programs
- ☐ ED 80-0013 Form - Certifications Regarding Lobbying; Debarment, Supervision and other Responsibility Matters; and Drug free Workplace Requirements
- ☐ ED 80-0014 Form - Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion – Lower Tier Covered Transactions
- ☐ SF LLL Form - Disclosure of Lobbying Activities (SF LLL) (submit if applicable)
- ☐ Response to Notice to All Applicants (Section 427, GEPA)

**Please check to make sure that you have done the following:**

- ☐ The Application for Federal Assistance ED Form 424 (CFDA No. 84.359B) has been signed and dated by an authorized official and you have included the signed original with your submission.
- ☐ The budget amount on ED Form 424 (Application for Federal Assistance face sheet), items 13 (a-g) and are for Year 1 only.
- ☐ You have included the signed original and at least two copies of your complete Full Application. (Although not required, it will help facilitate the Full Application review process if you include two additional copies of your complete Full Application.)



## ***EARLY READING FIRST PROGRAM FULL APPLICATION***

### ***FORMS***

All of the forms listed and attached below can be downloaded as Word, Wordperfect, or PDF files from:

<http://www.ed.gov/offices/OCFO/grants/appforms.html>. They appear in the same sequence here as they appear on that website.

1. **ED 424 Form** – Application Form for Federal Assistance (CFDA # 84.359B)
2. **ED 524 Form Instructions** – Budget Information, Non–Construction Programs
3. **SF 424B Form** – Assurances, Non-Construction Programs
4. **ED 80–0013 Form** – Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements
5. **ED 80–0014 Form** – Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion – Lower Tier Covered Transactions
6. **SF LLL Form** – Disclosure of Lobbying Activities (submit if applicable)

### ***NOTICE***

The Notice to All Applicants (Section 427, GEPA) is attached below. All applicants must respond to this notice in the narrative portion of their Full Applications.

### ***OTHER IMPORTANT INFORMATION***

Information on the following is attached below:

1. Executive Order 12372 (Intergovernmental Review of Federal Programs)
2. Single State Point of Contact List
3. Important Notice to Prospective Participants in U.S. Department of Education Grant and Contract Programs



Application for Federal  
**Education Assistance (ED 424)**



**U.S. Department of Education**

Form Approved  
OMB No. 1875-0106  
Exp. 11/30/2004

**Applicant Information** Organizational Unit

**1. Name and Address**

Legal Name: \_\_\_\_\_

Address: \_\_\_\_\_

City \_\_\_\_\_

State \_\_\_\_\_

County \_\_\_\_\_

ZIP Code + 4 \_\_\_\_\_

**2. Applicant's D-U-N-S Number** |\_\_\_\_|\_\_\_\_|\_\_\_\_|\_\_\_\_|\_\_\_\_|\_\_\_\_|\_\_\_\_|\_\_\_\_|\_\_\_\_|\_\_\_\_|

**6. Novice Applicant** \_\_\_\_ Yes \_\_\_\_ No

**3. Applicant's T-I-N** |\_\_\_\_|\_\_\_\_| - |\_\_\_\_|\_\_\_\_|\_\_\_\_|\_\_\_\_|\_\_\_\_|\_\_\_\_|

**7. Is the applicant delinquent on any Federal debt?** \_\_\_\_ Yes \_\_\_\_ No  
(If "Yes," attach an explanation.)

**4. Catalog of Federal Domestic Assistance #:** **84.** 3 5 9 B

Title: \_\_\_\_ Early Reading First Program Full Application

**8. Type of Applicant (Enter appropriate letter in the box.)** |\_\_\_\_|

A - State  
B - Local  
C - Special District  
D - Indian Tribe  
E - Individual  
F - Independent School District  
G - Public College or University  
H - Private, Non-profit College or University  
I - Non-profit Organization  
J - Private, Profit-Making Organization

K - Other (Specify): \_\_\_\_\_

**5. Project Director:** \_\_\_\_\_

Address: \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ Zip code + 4 \_\_\_\_\_

Tel. #: ( ) \_\_\_\_\_ - \_\_\_\_\_ Fax #: ( ) \_\_\_\_\_ - \_\_\_\_\_

E-Mail Address: \_\_\_\_\_

**Application Information**

**9. Type of Submission:**

*-PreApplication*      *-Application*  
\_\_\_\_ Construction      \_\_\_\_ Construction  
\_\_\_\_ Non-Construction      \_\_\_\_ Non-Construction

**10. Is application subject to review by Executive Order 12372 process?**

\_\_\_\_ Yes (Date made available to the Executive Order 12372 process for review): \_\_\_\_/\_\_\_\_/\_\_\_\_

\_\_\_\_ No (If "No," check appropriate box below.)

\_\_\_\_ Program is not covered by E.O. 12372.

\_\_\_\_ Program has not been selected by State for review.

**12. Are any research activities involving human subjects planned at any time during the proposed project period?**  
\_\_\_\_ Yes (Go to 12a.) \_\_\_\_ No (Go to item 13.)

**12a. Are all the research activities proposed designated to be exempt from the regulations?**

\_\_\_\_ Yes (Provide Exemption(s) #): \_\_\_\_\_

\_\_\_\_ No (Provide Assurance #): \_\_\_\_\_

**13. Descriptive Title of Applicant's Project:**

**11. Proposed Project Dates:** \_\_\_\_/\_\_\_\_/\_\_\_\_

**Start Date:**

**End Date:**

**Estimated Funding**

**14a. Federal** \$ \_\_\_\_\_ . 00

**b. Applicant** \$ \_\_\_\_\_ . 00

**c. State** \$ \_\_\_\_\_ . 00

**d. Local** \$ \_\_\_\_\_ . 00

**e. Other** \$ \_\_\_\_\_ . 00

**f. Program Income** \$ \_\_\_\_\_ . 00

**g. TOTAL** \$ \_\_\_\_\_ . 00

**Authorized Representative Information**

**15. To the best of my knowledge and belief, all data in this preapplication/application are true**

**and correct. The document has been duly authorized by the governing body of the applicant**

**and the applicant will comply with the attached assurances if the assistance is awarded.**

**a. Authorized Representative (Please type or print name clearly.)**

**b. Title:** \_\_\_\_\_

**c. Tel. #:** ( ) \_\_\_\_\_ - \_\_\_\_\_ **Fax #:** ( ) \_\_\_\_\_ - \_\_\_\_\_

**d. E-Mail Address:** \_\_\_\_\_

**e. Signature of Authorized Representative**

\_\_\_\_\_  
Date: \_\_\_\_/\_\_\_\_/\_\_\_\_

## Instructions for Form ED 424

**1. Legal Name and Address.** Enter the legal name of applicant and the name of the primary organizational unit which will undertake the assistance activity.

**2. D-U-N-S Number.** Enter the applicant's D-U-N-S Number. If your organization does not have a D-U-N-S Number, you can obtain the number by calling 1-800-333-0505 or by completing a D-U-N-S Number Request Form. The form can be obtained via the Internet at the following URL: <http://www.dnb.com>.

**3. Tax Identification Number.** Enter the taxpayer's identification number as assigned by the Internal Revenue Service.

**4. Catalog of Federal Domestic Assistance (CFDA) Number.** Enter the CFDA number and title of the program under which assistance is requested. The CFDA number can be found in the federal register notice and the application package.

**Project Director.** Name, address, telephone and fax numbers, and e-mail address of the person to be contacted on matters involving this application.

**Novice Applicant.** Check "Yes" or "No" only if assistance is being requested under a program that gives special consideration to novice applicants. Otherwise, **leave blank**.

Check "Yes" if you meet the requirements for novice applicants specified in the regulations in 34 CFR 75.225 and included on the attached page entitled "Definitions for Form ED 424." By checking "Yes" the applicant certifies that it meets these novice applicant requirements. Check "No" if you do not meet the requirements for novice applicants.

**10. Federal Debt Delinquency.** Check "Yes" if the applicant's organization is delinquent on any Federal debt. (This question refers to the applicant's organization and not to the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.) Otherwise, check "No."

**11. Type of Applicant.** Enter the appropriate letter in the box provided.

**12. Type of Submission.** See "Definitions for Form ED 424" attached.

**10. Executive Order 12372.** See "Definitions for Form ED 424" attached. Check "Yes" if the application is subject to review by E.O. 12372. Also, please enter the month, day, and four (4) digit year (e.g., 12/12/2001). Otherwise, check "No."

**11. Proposed Project Dates.** Please enter the month, day, and four (4) digit year (e.g., 12/12/2001).

**12. Human Subjects Research.** (See I.A. "Definitions" in attached page entitled "Definitions for Form ED 424.")

**If Not Human Subjects Research.** Check "No" if research activities involving human subjects are not planned at any time during the proposed project period. The remaining parts of Item 12 are then not applicable.

**If Human Subjects Research.** Check "Yes" if research activities involving human subjects are planned at any time during the proposed project period, either at the applicant organization or at any other performance site or collaborating institution. Check "Yes" even if the research is exempt from the regulations for the protection of human subjects. (See I.B. "Exemptions" in attached page entitled "Definitions for Form ED 424.")

**12a. If Human Subjects Research is Exempt from the Human Subjects Regulations.** Check "Yes" if all the research activities proposed are designated to be exempt from the regulations. Insert the exemption number(s) corresponding to one or more of the six exemption categories listed in I.B. "Exemptions." In addition, follow the instructions in II.A. "Exempt Research Narrative" in the attached page entitled "Definitions for Form ED 424." Insert this narrative immediately following the ED 424 face page.

**12a. If Human Subjects Research is Not Exempt from Human Subjects Regulations.** Check "No"



if some or all of the planned research activities are covered (not exempt). In addition, follow the instructions in II.B. "Nonexempt Research Narrative" in the page entitled "Definitions for Form ED 424." Insert this narrative immediately following the ED 424 face page.

**12a. Human Subjects Assurance Number.** If the applicant has an approved Federal Wide (FWA) or Multiple Project Assurance (MPA) with the Office for Human Research Protections (OHRP), U.S. Department of Health and Human Services, that covers the specific activity, insert the number in the space provided. If the applicant does not have an approved assurance on file with OHRP, enter "None." In this case, the applicant, by signature on the face page, is declaring that it will comply with 34 CFR 97 and proceed to obtain the human subjects assurance upon request by the designated ED official. If the application is recommended/selected for funding, the designated ED official will request that the applicant obtain the assurance within 30 days after the specific formal request.

**Note about Institutional Review Board Approval.** ED does not require certification of Institutional Review Board approval with the application. However, if an application that involves non-exempt human subjects research is recommended/selected for funding, the designated ED official will request that the applicant obtain and send the certification to ED within 30 days after the formal request.

**13. Project Title.** Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.

**14. Estimated Funding.** Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate **only** the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 14.

**15. Certification.** To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. Be sure to enter the telephone and fax number and e-mail address of the authorized representative. Also, in item 15e, please enter the month, day, and four (4) digit year (e.g., 12/12/2001) in the date signed field.

**Paperwork Burden Statement.** According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1875-0106. The time required to complete this information collection is estimated to average between 15 and 45 minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, D.C. 20202-4651. If you have comments or concerns regarding the status of your individual submission of this form write directly to: Joyce I. Mays, Application Control Center, U.S. Department of Education, 7th and D Streets, S.W. ROB-3, Room 3633, Washington, D.C. 20202-4725

## Definitions for Form ED 424

**Novice Applicant (See 34 CFR 75.225).** For discretionary grant programs under which the Secretary gives special consideration to novice applications, a novice applicant means any applicant for a grant from ED that—

- Has never received a grant or subgrant under the program from which it seeks funding;
- Has never been a member of a group application, submitted in accordance with 34 CFR 75.127-75.129, that received a grant under the program from which it seeks funding; and
- Has not had an active discretionary grant from the Federal government in the five years before the deadline date for applications under the program. For the purposes of this requirement, a grant is active until the end of the grant's project or funding period, including any extensions of those periods that extend the grantee's authority to obligate funds.

In the case of a group application submitted in accordance with 34 CFR 75.127-75.129, a group includes only parties that meet the requirements listed above.

**Type of Submission.** "Construction" includes construction of new buildings and acquisition, expansion, remodeling, and alteration of existing buildings, and initial equipment of any such buildings, or any combination of such activities (including architects' fees and the cost of acquisition of land). "Construction" also includes remodeling to meet standards, remodeling designed to conserve energy, renovation or remodeling to accommodate new technologies, and the purchase of existing historic buildings for conversion to public libraries. For the purposes of this paragraph, the term "equipment" includes machinery, utilities, and built-in equipment and any necessary enclosures or structures to house them; and such term includes all other items necessary for the functioning of a particular facility as a facility for the provision of library services.

**Executive Order 12372.** The purpose of Executive Order 12372 is to foster an intergovernmental partnership and strengthen federalism by relying on State and local processes for the coordination and review of proposed Federal financial assistance and direct Federal development. The application notice, as published in the Federal Register, informs the applicant as to whether the program is subject to the requirements of E.O. 12372. In addition, the application package contains information on the State Single Point of Contact. An applicant is still eligible to apply for a grant or grants even if its respective State, Territory, Commonwealth, etc. does not have a State Single Point of Contact. For additional information on E.O. 12372 go to <http://www.cfda.gov/public/eo12372.htm>.

# PROTECTION OF HUMAN SUBJECTS IN RESEARCH

## I. Definitions and Exemptions

### A. Definitions.

A research activity involves human subjects if the activity is research, as defined in the Department's regulations, and the research activity will involve use of human subjects, as defined in the regulations.

#### —Research

The ED Regulations for the Protection of Human Subjects, Title 34, Code of Federal Regulations, Part 97, define research as “a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge.” *If an activity follows a deliberate plan whose purpose is to develop or contribute to generalizable knowledge it is research.* Activities which meet this definition constitute research whether or not they are conducted or supported under a program which is considered research for other purposes. For example, some demonstration and service programs may include research activities.

#### —Human Subject

The regulations define human subject as “a living individual about whom an investigator (whether professional or student) conducting research obtains (1) data through intervention or interaction with the individual, or (2) identifiable private information.” *(1) If an activity involves obtaining information about a living person by manipulating that person or that person's environment, as might occur when a new instructional technique is tested, or by communicating or interacting with the individual, as occurs with surveys and interviews, the definition of human subject is met. (2) If an activity involves obtaining private information about a living person in such a way that the information can be linked to that individual (the identity of the subject is or may be readily determined by the investigator or associated with the information), the definition of human subject is met.* [Private information includes information about behavior that occurs in a context in which an individual can reasonably expect that no observation or recording is taking place, and information which has been provided for specific purposes by an individual and which the individual can reasonably expect will not be made public (for example, a school health record).]

### B. Exemptions.

Research activities in which the **only** involvement of human subjects will be in one or more of the following six categories of **exemptions** are not covered by the regulations:

(1) Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as (a) research on regular and special education instructional strategies, or (b) research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods.

(2) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless: (a) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and (b) any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, or reputation. *If the subjects are children, exemption 2 applies only to research involving educational tests and observations of public behavior when the investigator(s) do not participate in the activities being observed. Exemption 2 does not apply if children are surveyed or interviewed or if the research involves observation of public behavior and the investigator(s) participate in the activities being observed.* [Children are defined as persons

who have not attained the legal age for consent to treatments or procedures involved in the research, under the applicable law or jurisdiction in which the research will be conducted.]

(3) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior that is not exempt under section (2) above, if the human subjects are elected or appointed public officials or candidates for public office; or federal statute(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.

(4) Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the information is recorded by the investigator in a manner that subjects cannot be identified, directly or through identifiers linked to the subjects.

(5) Research and demonstration projects which are conducted by or subject to the approval of department or agency heads, and which are designed to study, evaluate, or otherwise examine: (a) public benefit or service programs; (b) procedures for obtaining benefits or services under those programs; (c) possible changes in or alternatives to those programs or procedures; or (d) possible changes in methods or levels of payment for benefits or services under those programs.

(6) Taste and food quality evaluation and consumer acceptance studies, (a) if wholesome foods without additives are consumed or (b) if a food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe, by the Food and Drug Administration or approved by the Environmental Protection Agency or the Food Safety and Inspection Service of the U.S. Department of Agriculture.

## **II. Instructions for Exempt and Nonexempt Human Subjects Research Narratives**

If the applicant marked “Yes” for Item 12 on the ED 424, the applicant must provide a human subjects “exempt research” or “nonexempt research” narrative and insert it immediately following the ED 424 face page.

### **A. Exempt Research Narrative.**

If you marked “Yes” for item 12 a. and designated exemption numbers(s), provide the “exempt research” narrative. The narrative must contain sufficient information about the involvement of human subjects in the proposed research to allow a determination by ED that the designated exemption(s) are appropriate. The narrative must be succinct.

### **B. Nonexempt Research Narrative.**

If you marked “No” for item 12 a. you must provide the “nonexempt research” narrative. The narrative must address the following seven points. Although no specific page limitation applies to this section of the application, be succinct.

(1) **Human Subjects Involvement and Characteristics:** Provide a detailed description of the proposed involvement of human subjects. Describe the characteristics of the subject population, including their anticipated number, age range, and health status. Identify the criteria for inclusion or exclusion of any subpopulation. Explain the rationale for the involvement of special classes of subjects, such as children, children with disabilities, adults with disabilities, persons with mental disabilities, pregnant women, prisoners, institutionalized individuals, or others who are likely to be vulnerable

(2) **Sources of Materials:** Identify the sources of research material obtained from individually identifiable living human subjects in the form of specimens, records, or data. Indicate whether the material or data will be obtained specifically for research purposes or whether use will be made of existing specimens, records, or data.

(3) **Recruitment and Informed Consent:** Describe plans for the recruitment of subjects and the consent procedures to be followed. Include the circumstances under which consent will be sought and obtained, who will seek it, the nature of the information to be provided to prospective subjects, and the method of documenting consent. State if the Institutional Review Board (IRB) has authorized a modification or waiver of the elements of consent or the requirement for documentation of consent.

(4) **Potential Risks:** Describe potential risks (physical, psychological, social, legal, or other) and assess their likelihood and seriousness. Where appropriate, describe alternative treatments and procedures that might be advantageous to the subjects.

(5) **Protection Against Risk:** Describe the procedures for protecting against or minimizing potential risks, including risks to confidentiality, and assess their likely effectiveness. Where appropriate, discuss provisions for ensuring necessary medical or professional intervention in the event of adverse effects to the subjects. Also, where appropriate, describe the provisions for monitoring the data collected to ensure the safety of the subjects.

(6) **Importance of the Knowledge to be Gained:** Discuss the importance of the knowledge gained or to be gained as a result of the proposed research. Discuss why the risks to subjects are reasonable in relation to the anticipated benefits to subjects and in relation to the importance of the knowledge that may reasonably be expected to result.

(7) **Collaborating Site(s):** If research involving human subjects will take place at collaborating site(s) or other performance site(s), name the sites and briefly describe their involvement or role in the research.

*Copies of the Department of Education's Regulations for the Protection of Human Subjects, 34 CFR Part 97 and other pertinent materials on the protection of human subjects in research are available from the Grants Policy and Oversight Staff, Office of the Chief Financial Officer, U.S. Department of Education, Washington, D.C. 20202-4248, telephone: (202) 708-8263, and on the U.S. Department of Education's Protection of Human Subjects in Research Web Site at <http://www.ed.gov/offices/OCFO/humansub.html>*





**U.S. DEPARTMENT OF EDUCATION  
BUDGET INFORMATION  
NON-CONSTRUCTION PROGRAMS**

OMB Control Number: 1890-0004

Expiration Date: 02/28/2003

Name of Institution/Organization

Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.

**SECTION A - BUDGET SUMMARY  
U.S. DEPARTMENT OF EDUCATION FUNDS**

Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel						
2. Fringe Benefits						
3. Travel						
4. Equipment						
5. Supplies						
6. Contractual						
7. Construction						
8. Other						
9. Total Direct Costs (lines 1-8)						
10. Indirect Costs						
11. Training Stipends						
12. Total Costs (lines 9-11)						





Name of Institution/Organization	Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.
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<b>SECTION B - BUDGET SUMMARY NON-FEDERAL FUNDS</b>
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Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel						
2. Fringe Benefits						
3. Travel						
4. Equipment						
5. Supplies						
6. Contractual						
7. Construction						
8. Other						
9. Total Direct Costs (lines 1-8)						
10. Indirect Costs						
11. Training Stipends						
12. Total Costs (lines 9-11)						

<b>SECTION C - OTHER BUDGET INFORMATION</b> (see instructions)
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Public reporting burden for this collection of information is estimated to vary from 13 to 22 hours per response, with an average of 17.5 hours per response, including the time reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Education, Information Management and Compliance Division, Washington, D.C. 20202-4651; and the Office of Management and Budget, Paperwork Reduction Project 1875-0102, Washington DC 20503.

## INSTRUCTIONS FOR ED FORM 524

### General Instructions

This form is used to apply to individual U.S. Department of Education discretionary grant programs. Unless directed otherwise, provide the same budget information for each year of the multi-year funding request. Pay attention to applicable program specific instructions, if attached.

### Section A - Budget Summary U.S. Department of Education Funds

All applicants must complete Section A and provide a breakdown by the applicable budget categories shown in lines 1-11.

Lines 1-11, columns (a)-(e): For each project year for which funding is requested, show the total amount requested for each applicable budget category.

Lines 1-11, column (f): Show the multi-year total for each budget category. If funding is requested for only one project year, leave this column blank.

Line 12, columns (a)-(e): Show the total budget request for each project year for which funding is requested.

Line 12, column (f): Show the total amount requested for all project years. If funding is requested for only one year, leave this space blank.

### Section B - Budget Summary Non-Federal Funds

If you are required to provide or volunteer to provide matching funds or other non-Federal resources to the project, these should be shown for each applicable budget category on lines 1-11 of Section B.

Lines 1-11, columns (a)-(e): For each project year for which matching funds or other contributions are provided, show the total contribution for each applicable budget category.

Lines 1-11, column (f): Show the multi-year total for each budget category. If non-Federal contributions are provided for only one year, leave this column blank.

Line 12, columns (a)-(e): Show the total matching or other contribution for each project year.

Line 12, column (f): Show the total amount to be contributed for all years of the multi-year project. If non-Federal contributions are provided for only one year, leave this space blank.

### Section C - Other Budget Information Pay attention to applicable program specific instructions, if attached.

1. Provide an itemized budget breakdown, by project year, for each budget category listed in Sections A and B.
2. If applicable to this program, enter the type of indirect rate (provisional, predetermined, final or fixed) that will be in effect during the funding period. In addition, enter the estimated amount of the base to which the rate is applied, and the total indirect expense.
3. If applicable to this program, provide the rate and base on which fringe benefits are calculated.
4. Provide other explanations or comments you deem necessary.



## ASSURANCES - NON-CONSTRUCTION PROGRAMS

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Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503

**PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.**

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**Note:** Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management, and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§ 290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with the provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal

employment activities are funded in whole or in part with Federal funds.

9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. □□276a to 276a-7), the Copeland Act (40 U.S.C. □276c and 18 U.S.C. □□874) and the Contract Work Hours and Safety Standards Act (40 U.S.C. □□ 327-333), regarding labor standards for federally assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. □□1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. □□7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. □□1721 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. □470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. □□469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. □□2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. □□4801 et seq.) which prohibits the use of lead- based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, □Audits of States, Local Governments, and Non-Profit Organizations.□
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE	
APPLICANT ORGANIZATION		DATE SUBMITTED

Standard Form 424B (Rev. 7-97) Back

## **CERTIFICATIONS REGARDING LOBBYING; DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS; AND DRUG-FREE WORKPLACE REQUIREMENTS**

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of this form provides for compliance with certification requirements under 34 CFR Part 82, "New Restrictions on Lobbying," and 34 CFR Part 85, "Government-wide Debarment and Suspension (Nonprocurement) and Government-wide Requirements for Drug-Free Workplace (Grants)." The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Education determines to award the covered transaction, grant, or cooperative agreement.

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### **1. LOBBYING**

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 34 CFR Part 82, for persons entering into a grant or cooperative agreement over \$100,000, as defined at 34 CFR Part 82, Sections 82.105 and 82.110, the applicant certifies that:

(a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;

(b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form - LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions;

(c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants, contracts under grants and cooperative agreements, and subcontracts) and that all subrecipients shall certify and disclose accordingly.

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### **2. DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS**

As required by Executive Order 12549, Debarment and Suspension, and implemented at 34 CFR Part 85, for prospective participants in primary covered transactions, as defined at 34 CFR Part 85, Sections 85.105 and 85.110--

A. The applicant certifies that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;

(b) Have not within a three-year period preceding this application been convicted of or had a civil judgement rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (2)(b) of this certification; and

(d) Have not within a three-year period preceding this application had one or more public transaction (Federal, State, or local) terminated for cause or default; and

B. Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

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### **3. DRUG-FREE WORKPLACE (GRANTEES OTHER THAN INDIVIDUALS)**

As required by the Drug-Free Workplace Act of 1988, and implemented at 34 CFR Part 85, Subpart F, for grantees, as defined at 34 CFR Part 85, Sections 85.605 and 85.610 -

A. The applicant certifies that it will or will continue to provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an on-going drug-free awareness program to inform employees about:

(1) The dangers of drug abuse in the workplace;

(2) The grantee's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will:

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;



Check ☐ if there are workplaces on file that are not identified here.

**DRUG-FREE WORKPLACE  
(GRANTEES WHO ARE INDIVIDUALS)**

As required by the Drug-Free Workplace Act of 1988, and implemented at 34 CFR Part 85, Subpart F, for grantees, as defined at 34 CFR Part 85, Sections 85.605 and 85.610-

A. As a condition of the grant, I certify that I will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant; and

B. If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, I will report the conviction, in writing, within 10 calendar days of the conviction, to: Director, Grants Policy and Oversight Staff, Department of Education, 400 Maryland Avenue, S.W. (Room 3652, GSA Regional Office Building No. 3), Washington, DC 20202-4248. Notice shall include the identification number(s) of each affected grant.

(e) Notifying the agency, in writing, within 10 calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to: Director, Grants Policy and Oversight Staff, U.S. Department of Education, 400 Maryland Avenue, S.W. (Room 3652, GSA Regional Office Building No. 3), Washington, DC 20202-4248. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted:

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

B. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

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As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certifications.

NAME OF APPLICANT	PR/AWARD NUMBER AND / OR PROJECT NAME
PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE	
SIGNATURE	DATE

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**Certification Regarding Debarment, Suspension, Ineligibility and  
Voluntary Exclusion -- Lower Tier Covered Transactions**

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This certification is required by the Department of Education regulations implementing Executive Order 12549, Debarment and Suspension, 34 CFR Part 85, for all lower tier transactions meeting the threshold and tier requirements stated at Section 85.110.

**Instructions for Certification**

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.
5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.

6. The prospective lower tier participant further agrees by submitting this proposal that it will include the clause titled ☐ Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion-Lower Tier Covered Transactions, ☐ without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may but is not required to, check the Nonprocurement List.
8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

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**Certification**

- (1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
- (2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

NAME OF APPLICANT	PR/AWARD NUMBER AND/OR PROJECT NAME
PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE	
SIGNATURE	DATE



### Disclosure of Lobbying Activities

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352  
(See reverse for public burden disclosure)

<b>1. Type of Federal Action:</b> _____ a. contract _____ b. grant _____ c. cooperative agreement _____ d. loan _____ e. loan guarantee _____ f. loan insurance	<b>2. Status of Federal Action:</b> _____ a. bid/offer/application _____ b. initial award _____ c. post-award	<b>3. Report Type:</b> _____ a. initial filing _____ b. material change  <b>For material change only:</b> Year _____ quarter _____ Date of last report _____
<b>4. Name and Address of Reporting Entity:</b> _____ Prime _____ Subawardee _____ Tier _____, if Known:   <b>Congressional District, if known:</b>	<b>5. If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime:</b>    <b>Congressional District, if known:</b>	
<b>6. Federal Department/Agency:</b>	<b>7. Federal Program Name/Description:</b>   CFDA Number, if applicable: _____	
<b>8. Federal Action Number, if known:</b>	<b>9. Award Amount, if known:</b>  \$	
<b>10. a. Name and Address of Lobbying Registrant</b> <i>(if individual, last name, first name, MI):</i>	<b>b. Individuals Performing Services</b> <i>(including address if different from No. 10a)</i> <i>(last name, first name, MI):</i>	
<b>11. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.</b>	<b>Signature:</b> _____ <b>Print Name:</b> _____ <b>Title:</b> _____ <b>Telephone No.:</b> _____ <b>Date:</b> _____	
<b>Federal Use Only</b>	<b>Authorized for Local Reproduction</b> <b>Standard Form - LLL (Rev. 7-97)</b>	



## INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitations for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Included prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.  
  
(b) Enter the full names of the individual(s) performing services, and include full address if different from 10(a). Enter Last Name, First Name, and Middle Initial (MI).
11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

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*According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB control Number. The valid OMB control number for this information collection is OMB No. 0348-0046. Public reporting burden for this collection of information is estimated to average 10 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, DC 20503*



## **NOTICE TO ALL APPLICANTS**

The purpose of this enclosure is to inform you about a new provision in the Department of Education's General Education Provisions Act (GEPA) that applies to applicants for new grant awards under Department programs. This provision is Section 427 of GEPA, enacted as part of the Improving America's Schools Act of 1994 (Pub. L. 103-382).

### **To Whom Does This Provision Apply?**

Section 427 of GEPA affects applicants for new grant awards under this program.

### **ALL APPLICANTS FOR NEW AWARDS MUST INCLUDE INFORMATION IN THEIR APPLICATIONS TO ADDRESS THIS NEW PROVISION IN ORDER TO RECEIVE FUNDING UNDER THIS PROGRAM.**

(If this program is a State-formula grant program, a State needs to provide this description only for projects or activities that it carries out with funds reserved for State-level uses. In addition, local school districts or other eligible applicants that apply to the State for funding need to provide this description in their applications to the State for funding. The State would be responsible for ensuring that the school district or other local entity has submitted a sufficient section 427 statement as described below.)

### **What Does This Provision Require?**

Section 427 requires each applicant for funds (other than an individual person) to include in its application a description of the steps the applicant proposes to take to ensure equitable access to, and participation in, its Federally-assisted program for students, teachers, and other program beneficiaries with special needs.

This provision allows applicants discretion in developing the required description. The statute highlights six types of barriers that can impede equitable access or participation: gender, race, national origin, color, disability, or age. Based on local circumstances, you should determine whether these or other barriers may prevent your students, teachers, etc. from such access or participation in, the Federally-funded project or activity. The description in your application of steps to be taken to overcome these barriers need not be lengthy; you may provide a clear and succinct description of how you plan to address those barriers that are applicable to your circumstances. In addition, the information may be provided in a single narrative, or, if appropriate, may be discussed in connection with related topics in the application.

Section 427 is not intended to duplicate the requirements of civil rights statutes, but rather to ensure that, in designing their projects, applicants for Federal funds address equity concerns that may affect the ability of certain potential beneficiaries to fully participate in the project and to achieve to high standards. Consistent with program requirements and its approved application, an applicant may use the Federal funds awarded to it to eliminate barriers it identifies.

### **What are Examples of How an Applicant Might Satisfy the Requirement of This Provision?**

The following examples may help illustrate how an applicant may comply with Section 427.

(1) An applicant that proposes to carry out an adult literacy project serving, among others, adults with limited English proficiency, might describe in its application how it intends to distribute a brochure about the proposed project to such potential participants in their native language.

(2) An applicant that proposes to develop instructional materials for classroom use might describe how it will make the materials available on audio tape or in braille for students who are blind.



(3) An applicant that proposes to carry out a model science program for secondary students and is concerned that girls may be less likely than boys to enroll in the course, might indicate how it intends to conduct "outreach" efforts to girls, to encourage their enrollment.

We recognize that many applicants may already be implementing effective steps to ensure equity of access and participation in their grant programs, and we appreciate your cooperation in responding to the requirements of this provision.

**Estimated Burden Statement for GEPA Requirements** The time required to complete this information collection is estimated to vary from 1 to 3 hours per response, with an average of 1.5 hours, including the time to review instructions, search existing data resources, gather and maintain the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** U.S. Department of Education, Washington, DC 20202-4651.

## **Appendix**

### **Intergovernmental Review of Federal Programs**

This appendix applies to each program that is subject to the requirements of Executive Order 12372 (Intergovernmental Review of Federal Programs) and the regulations in 34 CFR part 79.

The objective of the Executive order is to foster an intergovernmental partnership and to strengthen federalism by relying on State and local processes for State and local government coordination and review of proposed Federal financial assistance.

Applicants must contact the appropriate State Single Point of Contact to find out about, and to comply with, the State's process under Executive Order 12372. Applicants proposing to perform activities in more than one State should immediately contact the Single Point of Contact for each of those States and follow the procedure established in each of those States under the Executive order. A listing containing the Single Point of Contact for each State is included in this appendix.

In States that have not established a process or chosen a program for review, State, areawide, regional, and local entities may submit comments directly to the Department.

Any State Process Recommendation and other comments submitted by a State Single Point of Contact and any comments from State, areawide, regional, and local entities must be mailed or hand-delivered by the date indicated in the actual application notice to the following address: The Secretary, EO 12372--CFDA# [commenter must insert number--including suffix letter, if any], U.S. Department of Education, room 7W301, 400 Maryland Avenue, SW., Washington, DC 20202.

Proof of mailing will be determined on the same basis as applications (see 34 CFR 75.102). Recommendations or comments may be hand-delivered until 4:30 p.m. (Washington, DC time) on the date indicated in the actual application notice.

PLEASE NOTE THAT THE ABOVE ADDRESS IS NOT THE SAME ADDRESS AS THE ONE TO WHICH THE APPLICANT SUBMITS ITS COMPLETED APPLICATION. DO NOT SEND APPLICATIONS TO THE ABOVE ADDRESS.

The list below, prepared by the U.S. Department of Education is an unofficial version of the State Single Point of Contact (SPOC) List published by the Office of Management and Budget (OMB). The Department has made every effort to ensure the accuracy of the information contained in this unofficial version. It reflects those changes made by OMB as of 08/15/01. The only official and up to date version of the State Single Point of Contact (SPOC) List is posted on the Grants Management section of the OMB web site: <http://www.whitehouse.gov/omb/grants/spoc.html>. You may review and/or download the Adobe pdf (portable document format) version of this document at the aforementioned site. Please include this statement in any reproduction of this unofficial list.

You are strongly encouraged to access the Intergovernmental Review (SPOC List) link to the Grants Management Information section of the OMB web page regularly in the course of completing grant applications to be submitted to your designated State Single Point of Contact (SPOC). If you do not have access to the Internet, please use the list below to contact the office or individual listed in order to confirm the State Single Point of Contact (SPOC).

### **STATE SINGLE POINTS OF CONTACT (SPOCs)**

It is estimated that in 2001, the Federal Government will outlay \$305.6 billion in grants to State and local governments. Executive Order 12372, "Intergovernmental Review of Federal Programs," was issued with the desire to foster the intergovernmental partnership and strengthen federalism by relying on State and local processes for the coordination and review of proposed Federal financial assistance and direct Federal development. The Order allows each State to designate an entity to perform this function. Below is the official list of those entities. For those States that have a home page for their designated entity, a direct link has been provided on the official version <http://www.whitehouse.gov/omb/grants/spoc.html>.

**States that are not listed on this page have chosen not to participate in the intergovernmental review process, and therefore do not have a SPOC. If you are located within one of these States, you may still send application material directly to a Federal awarding agency.**

Contact information for Federal agencies that award grants can be found in Appendix IV of the Catalog of Federal Domestic Assistance. [<http://www.cfda.gov/public/cat-app4-index.htm>]

<p><b><u>ARKANSAS</u></b></p> <p>Tracy L. Copeland  Manager, State Clearinghouse  Office of Intergovernmental Services  Department of Finance and Administration  1515 W. 7<sup>th</sup> Street, Room 412  Little Rock, Arkansas 72203  Telephone: (501) 682-1074  FAX: (501) 682-5206  <a href="mailto:tlcopeland@dfa.state.ar.us">tlcopeland@dfa.state.ar.us</a></p>	<p><b><u>CALIFORNIA</u></b></p> <p>Grants Coordination  State Clearinghouse  Office of Planning and Research  P.O. Box 3044, Room 222  Sacramento, California 95812-3044  Telephone: (916) 445-0613  FAX: (916) 323-3018  <a href="mailto:state.clearinghouse@opr.ca.gov">state.clearinghouse@opr.ca.gov</a></p>
<p><b><u>DELAWARE</u></b></p> <p>Charles H. Hopkins  Executive Department  Office of the Budget  540 S. Dupont Highway , 3<sup>rd</sup> Floor  Dover, Delaware 19901  Telephone: (302) 739-3323  FAX: (302) 739-5661  <a href="mailto:chopkins@state.de.us">chopkins@state.de.us</a></p>	<p><b><u>DISTRICT OF COLUMBIA</u></b></p> <p>Luisa Montero-Diaz  Office of Partnerships and Grants  Development  Executive Office of the Mayor  District of Columbia Government  414 4<sup>th</sup> Street, NW, Suite 530 South  Washington, DC 20001  Telephone: (202) 727-8900  FAX: (202) 727-1652  <a href="mailto:opgd.eom@dc.gov">opgd.eom@dc.gov</a></p>

<p><b><u>FLORIDA</u></b></p> <p>Jasmin Raffington  Florida State Clearinghouse  Department of Community Affairs  2555 Shumard Oak Blvd.  Tallahassee, Florida 32399-2100  Telephone: (850) 922-5438  FAX: (850) 414-0479  <a href="mailto:clearinghouse@dca.state.fl.us">clearinghouse@dca.state.fl.us</a></p>	<p><b><u>GEORGIA</u></b></p> <p>Georgia State Clearinghouse  270 Washington Street, SW  Atlanta, Georgia 30334  Telephone: (404) 656-3855  FAX: (404) 656-7901  <a href="mailto:gach@mail.opb.state.ga.us">gach@mail.opb.state.ga.us</a></p>
<p><b><u>ILLINOIS</u></b></p> <p>Virginia Bova  Department of Commerce and Community Affairs  James R. Thompson Center  100 West Randolph, Suite 3-400  Chicago, Illinois 60601  Telephone: (312) 814-6028  FAX: (312) 814-8485  <a href="mailto:vbova@commerce.state.il.us">vbova@commerce.state.il.us</a></p>	<p><b><u>IOWA</u></b></p> <p>Steven R. McCann  Division of Community and Rural Development  Iowa Department of Economic Development  200 East Grand Avenue  Des Moines, Iowa 50309  Telephone: (515) 242-4719  FAX: (515) 242-4809  <a href="mailto:steve.mccann@ided.state.ia.us">steve.mccann@ided.state.ia.us</a></p>
<p><b><u>KENTUCKY</u></b></p> <p>Ron Cook  Department for Local Government  1024 Capital Center Drive, Suite 340  Frankfort, Kentucky 40601  Telephone: (502) 573-2382  FAX: (502) 573-2512  <a href="mailto:ron.cook@mail.state.ky.us">ron.cook@mail.state.ky.us</a></p>	<p><b><u>MAINE</u></b></p> <p>Joyce Benson  State Planning Office  184 State Street  38 State House Station  Augusta, Maine 04333  Telephone: (207) 287-3261  Telephone: (207) 287-1461 (direct)  FAX: (207) 287-6489  <a href="mailto:joyce.benson@state.me.us">joyce.benson@state.me.us</a></p>
<p><b><u>MARYLAND</u></b></p> <p>Linda Janey  Manager, Clearinghouse and Plan Review Unit  Maryland Office of Planning  301 West Preston Street – Room 1104  Baltimore, Maryland 21201-2305  Telephone: (410) 767-4490  FAX: (410) 767-4480  <a href="mailto:linda@mail.op.state.md.us">linda@mail.op.state.md.us</a></p>	<p><b><u>MICHIGAN</u></b></p> <p>Richard Pfaff  Southeast Michigan Council of Governments  535 Griswold, Suite 300  Detroit, Michigan 48226  Telephone: (313) 961-4266  FAX: (313) 961-4869  <a href="mailto:pfaff@semcog.org">pfaff@semcog.org</a></p>
<p><b><u>MISSISSIPPI</u></b></p> <p>Cathy Mallette  Clearinghouse Officer  Department of Finance and Administration  1301 Woolfolk Building, Suite E  501 North West Street  Jackson, Mississippi 39201  Telephone: (601) 359-6762  FAX: (601) 359-6758</p>	<p><b><u>MISSOURI</u></b></p> <p>Carol Meyer  Teresa Kirchhoff  Federal Assistance Clearinghouse  Office of Administration  P.O. Box 809  Truman Building, Room 840  Jefferson City, Missouri 65102  Telephone: (573) 751-4834  FAX: (573) 522-4395</p>

	<a href="mailto:meyerc@mail.oa.state.mo.us">meyerc@mail.oa.state.mo.us</a> <a href="mailto:kirchhoff@mail.oa.state.mo.us">kirchhoff@mail.oa.state.mo.us</a>
<b><u>NEVADA</u></b>  Heather Elliott Department of Administration State Clearinghouse 209 E. Musser Street, Room 200 Carson City, Nevada 89701 Telephone: (775) 684-0209 FAX: (775) 684-0260 <a href="mailto:Helliott@govmail.state.nv.us">Helliott@govmail.state.nv.us</a>	<b><u>NEW HAMPSHIRE</u></b>  Jeffrey H. Taylor Director New Hampshire Office of State Planning Attn: Intergovernmental Review Process Mike Blake 2½ Beacon Street Concord, New Hampshire 03301 Telephone: (603) 271-2155 FAX: (603) 271-1728 <a href="mailto:Jtaylor@osp.state.nh.us">Jtaylor@osp.state.nh.us</a>
<b><u>NEW MEXICO</u></b>  Ken Hughes Local Government Division Room 201, Bataan Memorial Building Santa Fe, New Mexico 87503 Telephone: (505) 827-4370 FAX: (505) 827-4948 <a href="mailto:khughes@dfa.state.nm.us">khughes@dfa.state.nm.us</a>	<b><u>NORTH CAROLINA</u></b>  Jeanette Furney Department of Administration 1302 Mail Service Center Raleigh, North Carolina 27699-1302 Telephone: (919) 807-2323 FAX: (919) 733-9571 <a href="mailto:jeanette.furney@ncmail.net">jeanette.furney@ncmail.net</a>
<b><u>NORTH DAKOTA</u></b>  Jim Boyd Division of Community Services 600 East Boulevard Ave, Dept 105 Bismarck, North Dakota 58505-0170 Telephone: (701) 328-2094 FAX: (701) 328-2308 <a href="mailto:jboyd@state.nd.us">jboyd@state.nd.us</a>	<b><u>RHODE ISLAND</u></b>  Kevin Nelson Department of Administration Statewide Planning Program One Capitol Hill Providence Rhode Island 02908-5870 Telephone: (401) 222-2093 FAX: (401) 222-2083 <a href="mailto:knelson@doa.state.ri.us">knelson@doa.state.ri.us</a>
<b><u>SOUTH CAROLINA</u></b>  Omeagia Burgess Budget and Control Board Office of State Budget 1122 Ladies Street – 12 <sup>th</sup> Floor Columbia, South Carolina 29201 Telephone: (803) 734-0494 FAX: (803) 734-0645 <a href="mailto:aburgess@budget.state.sc.us">aburgess@budget.state.sc.us</a>	<b><u>TEXAS</u></b>  Denise S. Francis Director, State Grants Team Governor's Office of Budget and Planning P.O. Box 12428 Austin, Texas 78711 Telephone: (512) 305-9415 FAX: (512) 936-2681 <a href="mailto:dfrancis@governor.state.tx.us">dfrancis@governor.state.tx.us</a>
<b><u>UTAH</u></b>  Carolyn Wright Utah State Clearinghouse Governor's Office of Planning and Budget State Capitol, Room 114 Salt Lake City, Utah 84114 Telephone: (801) 538-1535 FAX: (801) 538-1547 <a href="mailto:cwright@gov.state.ut.us">cwright@gov.state.ut.us</a>	<b><u>WEST VIRGINIA</u></b>  Fred Cutlip, Director Community Development Division West Virginia Development Office Building #6, Room 553 Charleston, West Virginia 25305 Telephone: (304) 558-4010 FAX: (304) 558-3248 <a href="mailto:fcutlip@wvdo.org">fcutlip@wvdo.org</a>

<p><b><u>WISCONSIN</u></b></p> <p>Jeff Smith  Section Chief, Federal/State Relations  Wisconsin Department of Administration  101 East Wilson Street – 6<sup>th</sup> Floor  P.O. Box 7868  Madison, Wisconsin 53707  Telephone: (608) 266-0267  FAX: (608) 267-6931  <a href="mailto:jeffrey.smith@doa.state.wi.us">jeffrey.smith@doa.state.wi.us</a></p>	<p><b><u>AMERICAN SAMOA</u></b></p> <p>Pat M. Galea'i  Federal Grants/Programs Coordinator  Office of Federal Programs  Office of the Governor/Department  of Commerce  American Samoa Government  Pago Pago, American Samoa 96799  Telephone: (684) 633-5155  Fax: (684) 633-4195  <a href="mailto:pmgaleai@samoatelco.com">pmgaleai@samoatelco.com</a></p>
<p><b><u>GUAM</u></b></p> <p>Director  Bureau of Budget and Management Research  Office of the Governor  P.O. Box 2950  Agana, Guam 96910  Telephone: 011-671-472-2285  FAX: 011-671-472-2825  <a href="mailto:jer@ns.gov.gu">jer@ns.gov.gu</a></p>	<p><b><u>PUERTO RICO</u></b></p> <p>Jose Caballero / Mayra Silva  Puerto Rico Planning Board  Federal Proposals Review Office  Minillas Government Center  P.O. Box 41119  San Juan, Puerto Rico 00940-1119  Telephone: (787) 723-6190  FAX: (787) 722-6783</p>
<p><b><u>NORTHERN MARIANA ISLANDS</u></b></p> <p>Ms. Jacoba T. Seman  Federal Programs Coordinator  Office of Management and Budget  Office of the Governor  Saipan, MP 96950  Telephone: (670) 664-2289  FAX: (670) 664-2272  <a href="mailto:omb.jseman@saipan.com">omb.jseman@saipan.com</a></p>	<p><b><u>VIRGIN ISLANDS</u></b></p> <p>Ira Mills  Director, Office of Management &amp; Budget  # 41 Norre Gade Emancipation Garden  Station, Second Floor  Saint Thomas, Virgin Islands 00802  Telephone: (340) 774-0750  FAX: (787) 776-0069  <a href="mailto:lr mills@usvi.org">lr mills@usvi.org</a></p>

Changes to this list can be made only after OMB is notified by a State's officially designated representative. E-mail messages can be sent to [grants@omb.eop.gov](mailto:grants@omb.eop.gov). If you prefer, you may send correspondence to the following postal address:

Attn: Grants Management  
Office of Management and Budget  
New Executive Office Building, Suite 6025  
725 17<sup>th</sup> Street, NW  
Washington, DC 20503

**Please note:** Inquiries about obtaining a Federal grant should not be sent to the OMB e-mail or postal address shown above. The best source for this information is the Catalog of Federal Domestic Assistance (CFDA) [<http://www.cfda.gov/>].



**IMPORTANT NOTICE TO PROSPECTIVE PARTICIPANTS  
IN U.S. DEPARTMENT OF EDUCATION  
GRANT AND CONTRACT PROGRAMS**

**GRANTS**

Applicants for grants from the U.S. Department of Education (ED) have to compete for limited funds. Deadlines assure all applicants that they will be treated fairly and equally, without last minute haste. For these reasons, ED must set strict deadlines for grant applications. Prospective applicants can avoid disappointment if they understand that:

**Failure to meet a deadline will mean that an applicant will be rejected without any consideration.**

The rules, including the deadline, for applying for each grant are published, individually, in the Federal Register. A one-year subscription to the Register may be obtained by sending \$555.00 to: Superintendent of Documents, U.S. Government Printing Office, Washington, D.C. 20402-9371. (Send check or money order only, no cash or stamps.) In addition, the Federal Register is available on-line for free on Government Printing Office (GPO) Access: <http://www.access.gpo.gov/nara>. Depository Library location and Federal Register services: <http://www.nara.gov/fedreg>.

The instructions in the Federal Register must be followed exactly. Do not accept any other advice you may receive. No ED employee is authorized to extend any deadline published in the Register. No ED employees are authorized to extend any deadline published in the Federal Register. Questions regarding submission of applications may be addressed to:

U.S. Department of Education  
Application Control Center  
Washington, D.C. 20202-4725

**CONTRACTS**

**Competitive procurement actions undertaken by the ED are governed by the Federal Acquisition Regulations and implementing Department of Education Acquisition Regulations.**

Generally, prospective competitive procurement actions are synopsized in the Commerce Business Daily (CBD). Prospective offerors are therein advised of the nature of the procurement and where to apply for copies of the Request for Proposals (RFP). All of ED's RFP's are now available on-line for downloading at the following url:  
<http://www.ed.gov/offices/ocfo/contracts/currfrp.html>.

Offerors are advised to be guided solely by the contents of the CBD synopsis and the instructions contained in the RFP. Questions regarding the submission of offers should be addressed to the Contracts Specialist identified on the face page of the RFP. Offers are judged in competition with others, and failure to conform with any substantive requirements of the RFP will result in rejection of the offer without any consideration whatever.

Do not accept any advice you receive that is contrary to instructions contained in either the CBD synopsis or the RFP. No ED employee is authorized to consider a proposal which is non-responsive to the RFP. A subscription to the CBD is available for \$208.00 per year via second class mailing or \$261.00 per year via first class mailing. Information included in the Federal Acquisition Regulation is contained in Title 48, Code of Federal Regulations, Chapter 1 (\$49.00). The foregoing publication may be obtained by sending your check or money order only, no cash or stamps, to:

Superintendent of Documents  
U.S. Government Printing Office  
Washington, D.C. 20402-9371

In addition, the Commerce Business Daily is available on-line for free at the following url: <http://cbdnet.access.gpo.gov/>. The Federal Acquisition Regulations are available on-line at the following url: <http://www.arnet.gov/far/>. In an effort to be certain this important information is widely disseminated, this notice is being included in all ED mail to the public. You may therefore, receive more than one notice. If you do, we apologize for any annoyance it may cause you.

**ED FORM 5348, 7/01**



